KAMELIA SPASSOVA
Faculty of Slavic Studies
Sofia University „St. Kliment Ohridski”

DUAL CODES: THE TEXT WITHIN A TEXT
IN LOTMAN AND KRISTEVA

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1. The novelty fallacy, or the imperative of new forms

"The example is always a plastic singular point of departure [Ansatzpunkt]".[1] I will offer such a point in my paper on dual codes by starting with a quote from Chekhov's comedy "The Seagull" (1895): "We need new forms. We need new forms, but if there aren't any, it's better to have nothing".[2] The imperative of new forms in literature is a common trend in Modernism, yet the urgent necessity for novelty, and especially for the novelty of forms, is a widespread fascination for each new generation.[3] It could be called *the novelty fallacy*, similarly to *the intentional fallacy* and *the affective fallacy*. The cue for new forms is given by the young protagonist Konstantin Treplyov just before his last play is staged as a private family spectacle. The play is interrupted and then denounced as "decadent trash" and "an exhibition of bad temper", it is only with a pretension to introduce "a new form of art, and inaugurating a new era".[4] This hard judgement of Treplyov's attempt at novelty is announced by his mother,

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[1] Erich Auerbach, "Philology and 'Weltliteratur'", trans. Maire Said and Edward Said, *The Centennial Review* 13 (1969): 1–17.

[2] Anton P. Chekhov, "The Seagull: A Comedy in Four Acts", trans. Peter Carson, in *Plays* (New York: Penguin, 2002), 87.

[3] Bloom outlines six stages, or *revisionary ratios*, of this agon/competition (clinamen, tessera, kenosis, daemonization, askesis, apophrades), in which the new forms appear in the field of tradition: Harold Bloom, *The Anxiety of Influence: A Theory of Poetry* (New York and Oxford: Oxford University Press, 1973).

[4] Anton P. Chekhov, "The Seagull: A Comedy in Four Acts", trans. Peter Carson, in *Plays* (New York: Penguin, 2002), 89.

Irina Arkadina, an acknowledged actress. Thus at the very beginning of "The Seagull" there is a staging of a play which is suddenly interrupted with the words "[t]hat's enough! Curtain! [The curtain falls]".[5] The effect of new forms is suspended: the play has a sort of collapsed opening, like a failed experiment.

The caesura, or the rupture, which marks the double inception in this comedy is the well-known dramatic device of a *play within a play*. This device, employed by various playwrights, from Kyd's "The Spanish Tragedy" and Shakespeare's "Hamlet", "Midsummer Night's Dream", "The Taming of the Shrew" to Pirandello's "Six Characters in Search of an Author", or Brecht's "The Caucasian Chalk Circle", is a technique similar to the structure of the *story within a story*, *picture within a picture*, *novel within a novel*, *film within a film*, *dream within a dream*, or *video game within a video game*.

In addition to the usage of the device of a play within a play, it is easy to reveal a high level of intertextuality in "The Seagull". Just before the avant-garde performance by Treplyov started, Arkadina quoted Gertrude's lines from "Hamlet", which is a good example of intertextuality. This is not an isolated reference, as the intersection between the two plays, i.e. "The Seagull" and "Hamlet", functions at several levels: on a textual level, on the level of characters and plot, and on a structural level. The explicit intertextuality hints at the more implicit structural interference of the dramatic genre. In the context of modern drama and the impetus for new forms, "The Seagull" shifts the paradigm of the tragedy, and the tragic to the paradigm of the comedy, and the comic with the subtle intertextual dialogue with "Hamlet". Such an intertextual shift of literary genres or paradigms is a more powerful generator of new forms than the manifested imperative *we need new forms*, *but if there aren't any*, *it's better to have nothing*. However, I refer to Chekhov's play not with the purpose of opposing the new forms to traditional forms but to recall the structure of a *text within a text* as a mirror mechanism in literature.

In what follows, I will draw a comparison between Kristeva's concept of *genotext* and Lotman's analysis of the structure of *text within a text*. Both are inflective and generative mechanisms; they can be observed in terms of *dual codes* and *heterogeneity*. I will examine the dual-coded structure of Lotman in the light of Kristeva's early distinction between semiotic and symbolic functions, namely between *genotext* and *phenotext*. Text, or more precisely the dual coding of a text within a text, or the genotext within a phenotext, is a notion that functions similarly in Lotman's and Kristeva's accounts of semiotics. In the context of the 1960s, both of them explored the semiotic levels of the text in its potentiality for creation and novelty. The semiotic levels are no longer structures and symbols but non-revealed processes of genesis, a space of engendering.

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[5] Ibid., 89.

This dynamic dimension of the text is called semiosis in both Lotman's and Kristeva's writings, whereas the theoretical approach to *semiosis* is termed *semanalysis* by Kristeva.

The dual codes reveal *autopoiesis*,[6] or the auto-modelling potentiality of literature,[7] or a kind of mimetic theory. This is the immense capacity of literature not simply to repeat, but also to always generate creation in the process of repetition.[8] The potentiality of literature to produce its own motifs, topoi and new forms from within is termed figuration, whereas the products of this process of *autopoiesis* are called figures. The novelty fallacy, or the imperative of new forms, can be opposed to this autopoietic capacity of literature – its self-organisation and self-regulation. This concerns the immanent hybridisation, or a shift of levels in the literary work. The mirror mechanism of a text within a text is a simple autopoietic procedure.

2. Postscriptum: Kristeva on Yuri Lotman

Julia Kristeva wrote a short essay on the legacy of Juri Lotman in 1994 which was published in *Publications of the Modern Language Association* (*PMLA*).[9] A bright and innovative founder of the Tartu-Moscow Semiotic School, Lotman had died just a few months earlier, in October 1993, so Kristeva's turn to his figure can be read as an epitaph, or a posthumous record. Faced with his death, Kristeva reconsidered her theoretical connection with Lotman concerning her notion of *intertextuality* in comparison with his idea of a *secondary modelling system*. In her books this connection is often implicit, as his name is mentioned rarely in her writings. So Kristeva's brief essay makes such a nexus explicit and visible – it is a self-conscious testimony to the semiotic approach and to the history of semiotics from the 1960s to the 1990s. And it also serves as political

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[6] Maturana's autopoietic theory and Luhman's system theory are developed precisely at the intersection between science and humanities. Cf. Ira Livingston, *Between Science and Literature. An Introduction to Autopoetics*, foreword by N. Katherine Hayles. For an elaboration of the concept of autopoiesis in the frame of reading Kleist and Kafka, see also: Marcel Schmid, *Autopoiesis und Literatur. Die kurze Geschichte eines endlosen Verfahrens* (Bielefeld: Transcript Verlag, 2016). Marjorie Levinson describes autopoiesis in literature as both a recursive and self-referential mechanism between system and environment, cf. Marjorie Levinson, "Pre- and Post-Dialectical Materialisms. Modeling Praxis without Subjects and Object", *Cultural Critique* 31 (1995): 111–127.

[7] The nexus between potentiality in literature and theoretical models in the process of auto-modelling is profoundly investigated by Darin Tenev, *Fikcia i obraz. Modeli* [*Fiction and Image. Models*] (Plovid: Zhanet 45, 2012).

[8] For repetition as part of the creation processes, see: Radosvet Kolarov, *Repetition and Creation. Poetics of Autotextuality* (Sofia: Prosveta, 2009).

[9] Julia Kristeva, "On Yury Lotman", trans. Martha Noel Evans, *PMLA* 109 (1994): 375–376.

evidence for the different intellectual situations, choices, and positions in the context of the East (the Soviet Union) and the West (France).

The opening sentence of Kristeva's essay is the question: "When did the Berlin Wall come down?"[10] and the answer outlines two perspectives to the structure of the event: one is the point of view of the dominant version of history, namely that the Berlin Wall definitely fell in 1989, while the other focuses on the invisible labour of the intellectuals and the hidden history of ideas. Thus Kristeva gives us a short summary of the second perspective, the unfamiliar narrative of the scholars in the former Eastern Bloc: "I believe that the fissures in the wall began to be clearly felt in the early 1960s. A few unknown scholars – thinkers expressing disturbing ideas in hermetic idioms – were regrouping, like a colony of ants, to carry out subversive labours. Too complex for the already nascent media culture, their work was, of course, invisible from Paris or New York; but the masters of the Kremlin were not unaware of its undermining effects. Yury Lotman was one of these scholars".[11] Kristeva turns back to the context of the 1960s in France, or, as she called her generation, to "the 'samurai' of the structuralist and poststructuralist" intellectuals[12] who made the effort to overcome the metaphysical matrix and the established theoretical clichés by inventing a new paradigm and a new discourse for philosophical and philological thinking. Kristeva acknowledged the role of the Tartu-Moskow school as simultaneous with those efforts, and the role that Lotman played as a forerunner. There is some difficulty in defining the priority here – first, Lotman was barely translated in the West; second, it is not easy to detect which writings of Kristeva, Derrida, Foucault, etc. were accessible to him. Although Lotman never quoted them, he seemed to have known some of their texts. However, it is better to stick to Kristeva's formula: "Parallel with my concept of intertextuality, Lotman elaborated a notion of art as a 'secondary modelling system'".[13] And by this formula we can speak about the parallel conceptual processes in the East and the West, being inevitably aware of the differences produced by the different political regimes. The shared drift was to cross the threshold of strict formalism and the rigid structuralist models, focused on a synchronic linguistic level. One of the conceptual parallels between Kristeva and Lotman concerns the notion of the text, which could no longer be observed with the same metalanguage. The text is investigated in its dynamic and transformative dimensions since it has many layers, some of them comprehensible and lucid, some of them not. The non-transparent layers open the semiotic space as a space of elaboration of every structure, sign, meaning, or model.

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[10] Ibid., 375.
[11] Ibid.
[12] Ibid.
[13] Ibid., 376.

In 1968, in such a distinctive year, Julia Kristeva endeavoured to introduce the Tartu School to the Western public. She published an issue of *Tel Quel* on semiotics, to which she wrote a preface titled "Linguistique et sémiologie aujourd'hui en U.R.S.S.".[14] This issue featured articles belonging to Yuri Lotman,[15] Viatcheslav Ivanov,[16] and Vladimir Toporov.[17] According to her, this was the first translation of Lotman in French as well as in a Western language. Tracing the birth of semiotics, Kristeva pointed to the crucial role of the Tartu school and the intersection between Eastern and Western intellectuals: "Together we established the International Semiotics Association; although Lotman could not leave the Soviet Union to attend the founding congress in Warsaw, he became vice president of the association in 1968. The persecution of Lotman followed soon after".[18] It is clear that the political situation undermined such a dialogue in the name of semiotics at both an institutional and scientific level, or it made its traces hidden and implicit.

Such a dialogue cannot be observed from a historical perspective – it needs a special reconstruction which can grasp the intertextual parallels between Eastern and Western Europe with a sensitive awareness of the history of persecution, power, and censorship, but also with a thoughtful glimpse at the different scopes of imagination, e.g. how Eastern Europe imagines the Western world and how Western Europe projects its intimate desires on the East. Through the referential frame of Miglena Nikolchina's book *Lost Unicorns of the Velvet Revolutions*, such a conceptual elaboration is undertaken, deep and precise. She ultimately explores the blind spots, *lost paths of history*, and *autistic discourses* in the perspectives of the Eastern and Western intellectuals before and after the fall of the Berlin Wall. She coined the term *heterotopian homonymy* as an instrument to trace the complex twists and trajectories, the convergence and inconsistency of fundamental notions such as *transition*, *Aufhebung*, *sexual difference*, *human*, and *transhumanism* in their discourses. There is always a nonsynchronous aspect in synchronous concepts, structures, and processes, or there is something non-proportional in the analogies between East and West: the *heterotopian homonymy* outlines the differences exactly at that point where uncanny similarities appear. "The concept of heterotopia provides a unique entrance to the analysis of the mirroring effects in the geopolitical deployments of power, so amply exemplified by the history of the

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[14] Julia Kristeva, "Linguistique et sémiologie aujourd'hui en U.R.S.S", *Tel Quel* 35 (1968): 3–8.

[15] Yuri Lotman, "Semantique du nombre et type de culture", *Tel Quel* 35 (1968): 24–27.

[16] Viatcheslav Ivanov, "Structure d'un poème de Khlebnikov", *Tel Quel* 35 (1968): 9–23; "Caractéristiques numériques de la mythologie et des rites romans", *Tel Quel* 35 (1968): 35–37.

[17] Vladimir Toporov and A.J. Syrkin, "La triade et la tétrade", *Tel Quel* 35 (1968): 27–32.

[18] Julia Kristeva, "On Yury Lotman", 376.

Cold War.[19] *Heterotopian homonymy* is a discursive practice about what remains incommensurable in the comparison of the 'East and West' theoretical paradigms in pre- and post-revolutionary languages. What is a conceptual breakthrough in Nikolchina's concept is exactly the possibility of articulating the incommensurable in the parallel scientific notions or structures.

In the *PMLA* issue from 1994, Lotman's article "The Text within the Text"[20] is republished directly after Kristeva's essay. From the translators' note we learn that what is published is only an excerpt and not the whole essay. The first part, concerning the notion of *text-code* and the legacy of Vladimir Propp and Claude Lévi-Strauss, is omitted. We cannot guess what the arguments of the publishing politics were – whether it was a shortage of pages or a lack of interest. But I will address "The Text within the Text" in its entirety and as an attempt at a reconsideration and synthesis of the history of semiotics in comparison with Kristeva's attempt.[21]

3. Sign systems studies – *Σημειωτικα*: the mirror in the text

The historical context reveals that Lotman's article "The Text within the Text" ("Текст в тексте") first appeared in the semiotics journal of the Tartu school *Sign Systems Studies – Σημειωτικα* 14 (1981) [*Труды по знаковым системам – Σημειωτικα*].[22] The topic of the whole issue coincides with the article, i.e. it is exactly a "text within the text", particularly as Lotman's contribution is the first in the issue while its author is the chief editor of the journal as well. But in that issue several contributors from the Tartu school develop brilliant observations with regard to the idea of 'text within a text' in different contexts and cultural dimensions. A glance at the journal's contents page can serve as evidence for the importance of the notion of 'double-coded text' that triggered the mutual efforts of the Tartu school and is one of their main semiotic topoi:

Y. Lotman. Text in the Text
V. Ivanov. Film in the Film
P. Torop. The Problem of Intext

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[19] Miglena Nikolchina, *Lost Unicorns of the Velvet Revolutions* (New York: Fordham University Press, 2013), 68.

[20] Yury Lotman, "The Text within the Text", trans. Jerry Leo and Amy Mandelker, *PMLA* 109 (1994): 377–384.

[21] For references I use the earlier English publication in which the lacuna in the translation is only the final analysis of "The Master and Margarita" by Bulgakov. Yuri Lotman, "Text within a Text", *Soviet Psychology* 26 (1988): 32–51.

[22] Yury Lotman, "Текст в тексте", *Труды по знаковым системам – Σημειωτικα* 14 (1981).

Y. Levin. The Narrative Structure as a Generator of Thought: Text in the Text in the Works of J.L. Borges

R. Timenchik. Text in the Text in the Works by the Acmeists

T. Nikolayeva. "A Word Born in the Flames and Light"

Y. Skuratovsky. A Marginal Note to "The Works on Linguistics" by F. de Saussure

Thus, Lotman is not alone in opening the heuristic potential of the text within the text – there is a Tartu theoretical net of shared ideas, methods, and concepts represented in the issue above. I will refer to articles by Yuri Levin and Peeter Torop in order to outline two crucial aspects: the scientific mathematical approach and the productive layers of text and language. Julia Kristeva introduces the Tartu school with regard to its desire for a scientific approach to theoretical discourse and its dynamic generative methods.[23]

The article by Yuri Levin in this journal explores the notion of text within a text by means of logic structures in a generative perspective.[24] It is a good example of how mathematical formulas can clarify certain paradoxes in literature (the matheme of the simple structure of Borges' stories is: "A:$\{a_1|_A,\ b_3{:}\{b_1|_C,\ c_3|_b\}\}$"),[25] such as the recursive structure of the narrative, the comment-frame, the transformation of the frame, etc. At the very beginning of the article Levin recalls Borges' four devices in examining fantastic literature: 1. the text within a text; 2. the contamination of reality and dream; 3. time-travelling; 4. *Doppelgänger*.[26] All of these devices serve to make an "'as if' world" and they use a "double replication" structure in synchronic and in diachronic perspectives in order to produce self-referential transformation in art.[27] These four devices of fantastic literature are investigated in both Levin's and Lotman's observations of the text within a text. Levin keeps exemplifying these fantastic devices only with stories by Borges, while Lotman uses examples from art in general – from Renaissance

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[23] Julia Kristeva, "Linguistique et sémiologie aujourd'hui en U.R.S.S", in *Tel Quel* 35 (1968): 6. For a careful analysis of Kristeva's article with a special focus on the concept of text in Lotman and Kristeva, see Emanuel Landolt, "Histoire d'un dialogue impossible: J. Kristeva, J. Lotman et la sémiotique", *Langage et société* 4 (2012): 121–140.

[24] Юрий И. Левин, "Повестовательная структура как генератор смысла: текст в тексте у Х.Л. Борхеса", *Труды по знаковым системам – Σημειωτικα* 14 (1981): 45–64. The article was written earlier, in 1978–1979, and was also published in Юрий И. Левин, *Избранные труды. Поэтика. Семиотика* (Москва: Языки русской культуры, 1998), 435–456.

[25] Levin himself is a mathematician and semiotician.

[26] The four devices are catalogued by Borges (a typical Borgesian catalogue) in his lecture on 2 September 1949, cf. Clark M. Zlotchew, "Fiction Wrapped in Fiction: Casuality in Borges and in the Nouveau Roman", *Revista de literatura hispánica* 15 (1982).

[27] The function of double replication and the construction of an "'as if' world" is observed by Lotman in Yuri Lotman, "Iconic rhetoric", in *Universe of the Mind. A Semiotic Theory of Culture*, trans. Ann Shukman, introduction by Umberto Eco (London and New York: I.B. Tauris, 1990), 54–62.

paintings (Jan van Eyck, "The Arnolfini Portrait", Velázquez, "Las Meninas", Massys, "The Moneylender and his Wife") to films and literature. But what is the most general case of all these devices that produce replica by replica? It is the semiotics of the mirror in the art per se. The Tartu school has a fascination for the functions of the mirror within the work of art. A whole issue of *Sign Systems Studies* is on the semiotics of the mirror, with texts by Zara G. Mints, Gennady V. Obatnin, V.M. Meizerski, Suren Zoljan, and L.N. Stolovitš, but the most profound observations are Lotman's introduction and Levin's article[28]. The structure of the text within a text implies a mechanism of the mirror inside the text. The mirror in the work of art redoubles the semiotics process, which makes it a complex self-referential system.

The above approach towards the mirror invented a mimetic theory which radically converted the theory of reflection that Marxist-Leninist aesthetics required. For the Tartu school the mirror was a device of fantastic literature; whereas the theory of reflection forbade all fantastic elements and used the metaphor of the mirror to insist on a radical realistic thinking of art. Thus the function of dual codes could trick the Soviet system and used their weapon of mirror against the logic of realistic representation. The Tartu school's usage of exact methods could blind the authorities because they explored the idea of dual codes, mirror effects, and creative mimesis in a scientific language that was complex and not easy to be criticised. Such methods served as an encoding system.

The second aspect that was pointed out by Kristeva as representative of the Tartu school is the generative and dynamic principle, which traces back the process of the production of the text. It is relevant to Kristeva's own theory about the two types of texts (genotext and phenotext) or the two types of processes (semiotic and symbolic). The phenotext includes the symbolic level of the language; it includes subject-object relations and it has a communicative function. On the other hand, there is a sub-level beyond the symbolic – the semiotic level, or the genotext. It includes the semiotic creative process, pre-Oedipal relations, creative drive energy, and the repetition of drive charges[29]. Similarly to Lotman's structure of dual codes, the genotext is a text within the text, a kind of hidden creative process, an underlying foundation of language. The genotext inputs material discontinuity in the signifying process. It is more of a process than a structure, more of an energy than an object, it is para-linguistic: "even

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[28] Юрий И. Левин, "Зеркало как потенциальный семиотический объект", *Труды по знаковым системам – Σημειωτικα* 22 (1988): 6–24.

[29] Julia Kristeva, "Genotext and Phenotext", in *Revolution in Poetic Language*, translated by Margaret Waller, foreword by Leon S. Roudiez (New York: Columbia University Press, 1984), 86–89.

though it can be seen in language, the genotext is not linguistic (in the sense understood by structural or generative linguistics)".[30] This is the crucial difference between Lotman's and Kristeva's understandings of text: For Lotman the text is always a semiotic phenomenon and a discursive formation that implies signs and language, for Kristeva the forming and transforming potential of the phenotext is beyond language. And Kristeva gets even further in "transposing" the textual codes into dynamical and psychical terms.

The parallel trajectories between Kristeva and Lotman are recognised in Peeter Torop's article "The Problem of Intext". Torop is familiar with the French editions of Kristeva's *Séméiôtiké* and *Revolution in Poetic Language*. He links the intertextuality in Kristeva (and its genesis back to Bakhtin's dialogue) and the genotext/phenotext organisation with the process of transposition. Torop claims that Kristeva even refuses the term intertextuality and prefers the term transposition instead.[31] She defines transposition in connection with Freud's dream--work and "considerations of representability (die Rücksicht auf Darstellbarkeit)".[32] Her precise definition of transposition is "the signifying process' ability to pass from one sign system to another, to exchange and permutate them [...]. [I]t implies the abandonment of a former sign system, the passage to a second via an instinctual intermediary common to the two systems, and the articulation of the new system with its new representability".[33] In fact, this transposition as the passage from one sign system to another was pointed out by poetic mimesis – this is not a mimesis ruled by the logic of identification, sameness, and the one truth but a creative mimesis mastered by way of polysemy. "Mimesis, in our view, is a transgression of the thetic when truth is no longer a reference to an object that is identifiable outside the language".[34] The axis of the metaphor (condensation) and the axis of metonymy (displacement) are two operators of the transformation and pluralisation of denotation. The third transformation is transposition, which is a passage from one system to another, as it deconstructs an old position and opens a new position. Kristeva's description of the creative poetic mimesis is very similar to Lotman's understanding of semiosis and the exchanges between semiospheres. The process of semiosis is always transferring information from the periphery to the core of one semiosphere, between the different levels of one text, or between semiospheres. The semiosis implies a theory of creative mimesis that subverts the strict identical theory of reflections.

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[30] Ibid., 86.

[31] Peeter Torop, "The Problem of Intext", *Труды по знаковым системам – Σημειωτικα* 14 (1981): 35.

[32] Julia Kristeva, "Breaching the Thetic: Mimesis", in *Revolution in Poetic Language*, 60.

[33] Ibid.

[34] Ibid., 58.

The *Theory of Reflection* was completed in Moscow in 1936 by the Bulgarian orthodox Marxist philosopher Todor Pavlov as an elaboration on Lenin's ideas of knowledge as a reflection of reality. Todor Pavlov became one of the major proponents of understanding mimesis as mimetic reflection, which for decades defined the dogmatic Marxist-Leninist aesthetics in Eastern Europe. Beginning with the 1960s, Yuri Lotman's conceptualisation of dual code structures was working towards a strategy of reloading the mimetic theory beyond the official discourse. The mirror in Todor Pavlov's theory stands between literature and social reality; the mirror in Lotman is inside the text and is a metaphor for dual codes and the structure of the text within a text, or the self-referential principle that constructs the literary space.

4. Text within the text

Lotman explicitly affirms that his methodological wager is an attempt to combine the formal-structural paradigm of Roman Jakobson and the contextual--dialogical paradigm of Mikhail Bakhtin. Thus Lotman's theory is situated in the middle ground between the "linguistic fundamentalism" of Jakobson and the metalinguistic dialogue of Bakhtin.[35] Lotman conceives the *structure* of the text as heterogeneous just because it is at least dually coded.[36] To put it briefly, *semiosis* is exactly the process of this inner hybridisation, which has a creative potentiality.

Lotman figures out two models in defining the concepts of language and text as well as their dynamic: a linguistic (Fig. 1.1) and a semiotic model (Fig. 1.2). The crucial difference between the two depends on whether language or text is taken as the basic agency of production, i.e. the primary generator can be either language or text. The primary structure here does not have to be conceived in temporal terms of consequence and causality but in generative terms of *producer* and *produced*. In the linguistic model, language is the initial operator while texts are the generated products: "language precedes a text"; "language is [...] materialized in a text"[37]. In this model the language is a synchronically closed system that produces a never-ending chain of texts on the time axis:

Fig. 1

1. **Language [code]' → text₁, text₂, text₃**
2. **Text [code]' = text₁ / text₂ → text₁, text₂, text₃ ...**

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[35] Galin Tihanov, "Russian Formalism", in *Литературенвестник* 31 (2015).

[36] Юрий Лотман, "Текст в тексте", *Труды по знаковым системам – Σημειωτικα* 14 (1981); Yuri Lotman, "Text within a Text", *Soviet Psychology* 26 (1988): 32–51.

[37] Lotman, "Text within a Text", 32.

Lotman adds a semiotic model (Fig. 1.2) in which the basic paradigmatic agency is a text that functions as a code for other texts and generates new meanings and forms. "[T]he text is given to the collective earlier than language, and the language is 'calculated' from the text".[38] In the first case, the modelling operator is the language which produces texts; in the second case, the modelling operator is a text which consists of an immanent code. This code is either expressed or is an automatic/unconscious mechanism. For its expression, Lotman gives an example of Virgil's *Aeneid* as a code-text for Renaissance literature.[39] Even if it is not manifested within the text or in the literary history tradition, the code could become visible later as an object of theoretical reflection. The expressed code-text functions on a meta-level, while in the other case the unexpressed code rests on a sub-level.

The axis of homogeneity and heterogeneity is a crucial point for the concept of the text in Lotman. Actually, due to the hidden sub-levels, each text possesses an immanent heterogeneity. The heterogeneity and the generative principle are also the "unconscious" level of language that Kristeva termed a *genotext*. A genotext is more of a process than a structure, with negativity and creativity being its inherent conditions. It organises the semiotic process, its space is the semiotic *chora*, and it describes the split of the subject in dynamic terms, where strict borders are not functional. A phenotext is a part of the symbolic structure, it is articulated by strict categories and borders.

In Lotman's frame the code-text is the middle level between the language and the text. It serves as a generator of new texts, new meanings, and new forms. This code-text functions as a foreign semiosis in the frame of maternal semiosis, thus rendering the structure of the text a hybrid and overcoming natural homeostasis. On the one hand, the code-text is a "normal" text which flows in a specific syntax on the temporal axis, while on the other hand it serves as a pattern for generating new texts and meanings. Thus the basic argument is that "a code-text is a text",[40] it functions both syntagmatically (at the level of syntax) and paradigmatically (as a matrix). Or, to put it simply, each text is a *text within a text*, as far as some code-text could be "subtracted" from it either by historical or theoretical subtraction. This double structure is the default principle of each text. Therefore, Lotman defines the text as "a semiotic space in which languages interact, interfere, and organize themselves hierarchically".[41] In Lotman's approach, the text, by definition, merges a minimum of two texts,

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[38] Ibid., 34.

[39] A code text could also be referred to as a "Modell des Modellseins" [model of model agency] provided by Bernd Mahr. Cf. Bernd Mahr: "On the Epistemology of Models", in Günter Abel and James Conant, eds., *Rethinking Epistemology* (Berlin and New York: De Gruyter, 2011), 301–352.

[40] Lotman, "Text within a Text", 35.

[41] Ibid., 37.

two languages, or, in other words, it is always double coded. The most axiomatic characteristic of a text is its internal and immanent heterogeneity. Lotman refers to the structure of the text as heterogeneous just because it is at least dual coded. Because of this the text is claimed to function as a "thinking device" which could generate new semantics and new forms. The text has an immanent heterogeneous structure which is self-developed and subordinated. It always codes with a dual code: one is dominant and explicit and the others are hidden and implicit, but the focus and background codes, or the dominant and local codes, could transform their positions in the process of semiosis. "A background coding, which is unconscious and consequently usually not noticed, is introduced into structured consciousness and acquires conscious significance".[42] The back-ground coding in Lotman is a parallel concept with regard to Kristeva's genotext practice. There is a negative aspect in both of them – a moment of undoing, of non-meaning, of unconscious processing. Exactly such a negative side is the foundation of the generative process, it is inherent in the act of creation.

In addition, a text has a layer structure with upper-levels, lower-levels, or units on its own level. The meta-levels are not outside the text, respectively the system, but are composite parts of self-description. They are upper-levels in a hierarchic sense, as they subordinate and organise the lower levels. Thus meta-layers describe the text from within and accomplish internal control. This procedure opens up the capacity of self-development for the system. Meta-levels are a package of metadata, i.e. the meta-language from within.

The conflict between levels is the key generator of novelty and creation, of "cultural explosions" if we are to use Lotman's favourite expression. So each code-text could be unpacked in at least two layers – the upper and the lower – and that is the condition for the text to be a self-organised, self-regulated, and self-developed system, or to be a semiosphere. The text, and not only a literary work, is an autopoietic mechanism in Lotman's works. The text of literature, however, makes this auto-modelling capacity of the text more explicit, it exposes and illuminates this capacity. Literature and art as a *secondary modeling system* is a higher level in its autopoietic potentiality because it is more hybrid in terms of codes.[43] After all, literature is a central point for the semiotic model in which the text is primary to language.

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[42] Ibid.

[43] In his essay "Poetik der Modelle", Robert Matthias Erdbeer links modelling and mimesis in a very productive way, claiming, with reference to Lotman's approach, that fictional literature as a higher mode of modelling (a secondary modelling system that is operated by and shaping the primary modelling system of language) can provide a novel agency: "Gerade hier ist *mimesis* auch *poiesis* – die Modellierung eines operationalen Wirklichkeitsbezugs, in dem neuralgische Aspekte wie die Differenz von *fact* und *fiction* oder das Problem der Repräsentation von Performanz methodisch aufgehoben sind". Robert Matthias Erdbeer, "Poetik der Modelle", *Textpraxis* 11 (2015): 11.

Relying on this intersection between mimesis and model and applying Lotman's theory of dual structures, I will differentiate between two types of mimesis: authentic and creative; homogeneous and heterogeneous mimesis. The first works within the logic of identification, the second within the process of creation. The latter is seen as a prerogative in the self-referential function of literature.

Lotman's flexible theory could be construed as an attempt to transform the concept of mimesis by means of converting mimesis into semiosis.[44] Lotman never explicitly used the notion of mimesis. We could suspect that the term *mimesis*, or mimetic reflection, was in circulation in the Soviet Union at that time as one of the key concepts of the dogmatic Marxist-Leninist aesthetics, and particularly of the theory of reflection in which literature appears as a realistic reflection of reality; so the usage of mimesis outside the clichés of the official Soviet theory of reflection would have been intolerable. Thus Lotman's understanding of the dual code and dual structures in semiotics or art could function as a means to reconfigure classical mimetic theory beyond the established Marxist jargon.[45]

The difference between the theory of reflection and semiosis in Lotman is marked by the relation of text/context. Lotman radically inverted the notion of context – it is not equal to the reality or the everyday world as it is in the theory of reflection. The context in the discourse of the Tartu school functions like a text. Text and context are isomorphic; they are parallel structures framing a common paradigm. Each context includes at least two perspectives; there are always interactive processes within it, between the kernel and the periphery. The more heterogeneous the context is, the more probable the event, the "cultural explosion". The novelty of Lotman's implicit mimetic theory is the substitution of the pair 'reality/fiction' for the pairs 'nucleus/periphery', 'focus/background', and 'homogeneous/heterogeneous'.[46] Creative mimesis in literature and events in culture are possible only when the positions, units, and elements are not at one and the same level but are hybrid, so that they continuously produce differences between levels. The intercourse of the maternal and foreign semiosis accelerates the process of creation. This idea of "maternal" and foreign semiosis is close to Kristeva's own conceptualisation of semiotics. "Introduction of an alien semiosis that is untranslatable into the 'maternal' text puts the latter in a state of excitation: the object of attention shifts from the message to the language

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[44] The most prominent attempt to "translate" Lotman's theory in terms of mimesis is in Jelena Grigorjeva, "Lotman on Mimesis", *Sign Systems Studies* 31 (2003): 217–237.

[45] For the potential of Lotman's mimetic theory of dual structures, see Marina Grishakova, *The Models of Space, Time and Vision in V. Nabokov's Fiction. Narrative Strategies and Cultural Frames* (Tartu: Tartu University Press, 2012).

[46] Further in such a perspective, cf. Jelena Grigorjeva, "Lotman on Mimesis", *Sign Systems Studies* 1 (2003): 217–237.

as such and reveals the explicit code heterogeneity of the code of the maternal text itself".[47] Jakobson's notion of code is entangled with Bakhtin's polyphonic approach, which produces a polyphony of codes while they transform themselves in a process of never-ending mutual "translation" or encoding. The dialogue between maternal and foreign semiosis is a transposition that generates novelty. The code-text is a device between the code and the text which elaborates the dual coding production of each text. It is always a supplementary foreign semiosis in the frame of the maternal semiosis which invokes polyphony and hybridisation. The text has a syntax and is syntagmatic, but it can also be used as a device for generating new texts. First, Lotman differentiates between two methods of approaching the text: the paradigmatic method, abstracting a code-text from a text (Jakobson, Propp, Levi-Strauss) and the dynamic method of a text-generator (Bakhtin). And as a second step Lotman merges the two methods. In the text within a text system, or dual-codes, we could observe that each text is a hybrid: it functions both as code-text and text-generator. The text is not a passive object for examination but an active mechanism that can create.

To sum up, Lotman makes two significant theoretical moves. First, he transforms Jakobson's communicative model by inserting into it his own idea of *code-text* (Figs. 2 and 3). The result is that the text is described as a structure and as a system that is hybrid, immanently subordinated, and self-regulated by meta- or sub-levels. The second move is an attempt to combine Jakobson's legacy with that of Bakhtin's, i.e. to combine the linguistic paradigm with the dialogic concept, the metacodes with the term of heteroglossia. Thus Lotman develops the idea of communication beyond a mere encounter of the writer and the reader, and also describes it as a relation of oneself to oneself, a relation he calls autocommunication (I-I model). Autocommunication is the communication of a subject with her- or himself, but there is also autocommunication in the way that a text addresses itself.

It is crucial that for Lotman two codes, two languages, or two texts have already been interfering in a single text. This inner fold of a redoubling structure like a *text within a text* reveals and illuminates the inner mechanism of automodelling. This illumination shows how the text functions by a self--referential device, drifting down and up the sub/meta levels outlined in the pairs of 'internal/external', 'core/periphery', 'text/context', 'representation/ transformation', 'unconscious/reflexive', and 'hidden/visible'. The self-referential device illuminates exactly the conventional "nature" of an automodelling work. Even though the text is self-referential, it is not self-sufficient, i.e. it requires an external impetus or unfamiliar input to continue the work of hybridisation and transformation, a process in which the formulations of a new law are established.

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[47] Lotman, "Text within a text", 40.

The paradigmatic aspect of Lotman's semiotics is not closed in the structure of the work of art. On the contrary, it is open to the dynamic approach of shifts in the paradigms, crossing the boundaries between the separate semiospheres. Only by such shifts in the paradigms can new forms and new theories be observed. Lotman reaches the capacity of novelty by the minor changes in the system. His theory of cultural explosions is a parallel endeavour to Kristeva's revolution of the poetic language.

We can assume that Lotman's efforts as a scholar of the Tartu school to reveal the modelling capacity of what is heterogeneous, subordinate, or peripheral and to highlight the potentiality of the minor elements to explode in an event are not simply mere rhetoric but a vital intellectual position.

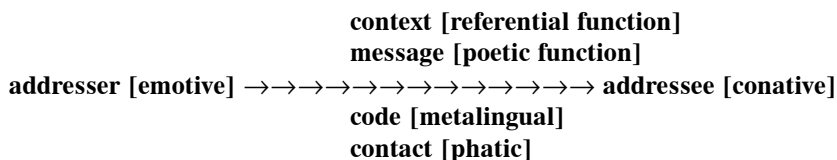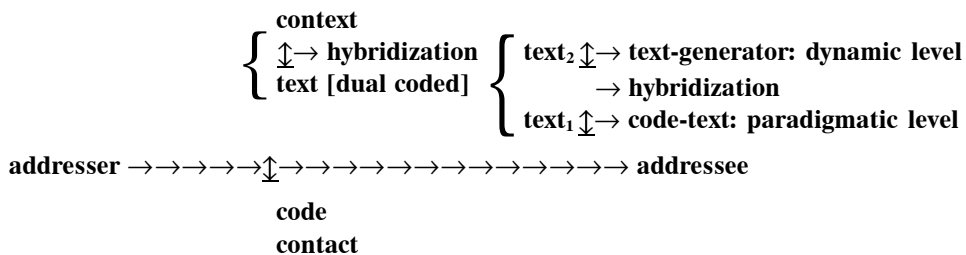**Fig. 2. Jakobson's model of the functions of language**

$$\begin{array}{c} \textbf{context [referential function]} \\ \textbf{message [poetic function]} \end{array}$$

addresser [emotive] →→→→→→→→→→→ **addressee [conative]**

$$\begin{array}{c} \textbf{code [metalingual]} \\ \textbf{contact [phatic]} \end{array}$$

Fig. 3. Lotman's remodelling with dual codes of the text

$$\left\{ \begin{array}{l} \textbf{context} \\ \updownarrow\!\!\rightarrow \textbf{hybridization} \\ \textbf{text [dual coded]} \end{array} \right. \left\{ \begin{array}{l} \textbf{text}_2\,\updownarrow\!\!\rightarrow \textbf{text-generator: dynamic level} \\ \quad\rightarrow \textbf{hybridization} \\ \textbf{text}_1\,\updownarrow\!\!\rightarrow \textbf{code-text: paradigmatic level} \end{array} \right.$$

addresser →→→→→↕→→→→→→→→→→→ **addressee**

$$\begin{array}{c} \textbf{code} \\ \textbf{contact} \end{array}$$

S u m m a r y

Lotman explicitly affirms that his methodological wager is an attempt to join the formal--structural paradigm of Roman Jacobson and the contextual-dialogical paradigm of Mikhail Bakhtin. Lotman conceives the *structure* of the text as heterogenous just because it is at least dually coded, while *semiosis* is exactly the process of this inner hybridization, which has a creative potentiality. My paper will examine the dual coded structure of Lotman in the light of early Kristeva distinction between semiotic and symbolic function. I will examine the influence of Lotman in Kristeva's works in the context of the 60s.

PODWÓJNE KODOWANIE: TEKST W TEKŚCIE
WEDŁUG ŁOTMANA I KRISTEVEJ

S t r e s z c z e n i e

Łotman otwarcie przyznaje, że metodologiczną stawką jego działań jest próba powiązania for-malno-strukturalnego paradygmatu Romana Jakobsona z kontekstowo-dialogicznym paradygmatem Michaiła Bachtina. Łotman traktuje *strukturę* tekstu jako heterogeniczną ponieważ jest kodowana co najmniej podwójnie, podczas gdy *semiosis* jest procesem jej wewnętrznej hybrydyzacji, mającej potencjał twórczy. Artykuł bada podwójnie kodowaną strukturę Łotmana w świetle rozróżnienia funkcji semiotycznej i symbolicznej u wczesnej Kristevej. Dotyczy on wpływu Łotmana na prace Kristevej w kontekście lat 60-tych XX wieku.