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ABSTRACT

This thesis contributes to the development of pedagogical stylistics by exploring the extent to which awareness of linguistic construction prepares students for producing literary interpretations. In this sense, it is in line with criticism which focuses on the language of the literary work. One of the main aims of this research is to integrate knowledge of linguistic and literary theory by means of theoretical description and classroom application.

The work is presented as a carefully planned and balanced study in which theoretical postulations are integrated with practice. It is divided into two free-standing but interdependent and mutually validating parts. The theoretical part puts forth the argument that training may sharpen literary awareness whereas the experiment confirms this claim.

The place of Literary Awareness in relation to Linguistics and Stylistics is also described. Stylistic patterns are proposed as components of a course on Literary Awareness in an English as a Foreign Literature context.

More specifically, Chapter One discusses the present state of literary studies in the EFL context, advances the hypotheses, and offers a summary of the Chapters.

Chapter Two builds towards a definition of Literary Awareness. It re-glosses the term **awareness** by setting it against perception, intuition, and interpretation. The chapter also presents the main principles which guide the process of awareness.

Chapter Three defines the literary text. It investigates the notion of literary language. Arguing against deviationist theories, it proposes a definition which depends largely on linguistic predictability and function.

Chapter Four organizes the different approaches to stylistics in a general framework and argues for the status of stylistics as a discipline in its own right.

Chapter Five discusses several models of readers and proposes a model which includes the EFLit reader. This Chapter also analyses the question of literary competence and argues against the sensitive native reader as a model of response.

Chapter Six describes the ten stylistic patterns used in the Pilot Project. It assumes that students will be able to interpret if they find out that certain linguistic patterns produce certain stylistic effects.

Chapter Seven connects theory to practice by describing the experiment developed from the concepts expounded in the previous chapters. The pedagogical principles are set out, the course detailed, and the results discussed. The Pilot Project, carried out in a Brazilian University, takes into account the responses of real readers of a foreign language. The course also shows the place of creative writing and of a system of ongoing assessment as part of the learning process.

Chapter Eight points out the relation between Literary Awareness, Critical Language Awareness, and EFL. Further developments in the area are also indicated.

The results of this thesis suggest that a stylistics-based course on Literary Awareness can be an effective method for teaching literary skills to university students of English as a Foreign Literature.

CHAPTER 2

TOWARDS A DEFINITION OF LITERARY AWARENESS

2.1. "Sitting up, not lounging"

Un livre n'est pas "une chose sur quoi nous n'aurions qu'à lever les yeux"; c'est un pôle actif, une réserve de puissance qui attend du lecteur son expression.

P. de Boisdeffre¹

Awareness, or "the quality or state of being aware"(cf. *The Oxford English Dictionary*), is considered by most societies an important stage in education². However, there is no general agreement as to how this stage is arrived at, especially when dealing with literature. Some scholars hold that literary skills may be learned in a non-systematic way, and they follow an intuitive approach. We maintain a different posture. We intend to show that awareness can be taught in a systematic way and that students can be trained into a stage of discernment³. Hence, this opening section prepares the ground for a definition of LitAw -- a technique that sensitizes students to the literary texts.

Awareness requires the individual's direct agency, as implied in the three definitions of **aware** in the *COBUILD English Dictionary* (1990):

1. If you are **aware** that something such as an important problem or difficulty exists or if you are **aware** of it, you know about it, either because you have thought about it or because you have just noticed it.
2. If you are **aware** of something or **aware** that something exists or is happening, you realize it because you hear it, see it, smell it, or feel it.
3. Someone who is **aware** pays a lot of attention to the things that are happening around them and is interested in why they are happening.

In all three definitions the achievement of awareness results from the individual's performing an action such as hearing, thinking, noticing, or paying attention, which demands some focused effort.

LitAw assumes that readers are active participants in the creation of meaning and that they can formulate a language which enables them to evaluate their experience. If readers are not committed to this task, they may be distracted by memories, thoughts, or associations which are not relevant to an understanding of the making of the text.

In a report on the aesthetic appreciation of music, Lee (1932:46) refers to an amateur who speaks of the need of "sitting up ... not lounging" to music. In this report, Lee distinguishes between **hearers** and **listeners**. **Hearers** are people whose attention is not focused. It is "intermittent and diffluent" (idem:19). Hearers never complain of lack of attention as they do not notice any lapses. To them, as Lee puts it (idem:32), moments of attention to music are

like islands continually washed over by a shallow tide of other thoughts: memories, associations, suggestions, visual images and emotional states, ebbing and flowing round the more or less clearly emergent musical perceptions, in such a way that each participates of the quality of the other, till they coalesce, forming a homogeneous and special contemplative condition, into whose blend of musical and non-musical thoughts there enters nothing which the "Hearer" can recognize as inattention.

On the other hand, **listeners**, or really musical people, complain of lapses of attention. They "brace" through music and move along

every detail of composition and performance, taking in all the relations of sequences and combinations of sounds as regards pitch, intervals, modulations, rhythms and intensities, holding them in the memory and coordinating them in a series of complex wholes, similar ... to that constituted by all the parts, large and small, of a piece of architecture; and these architecturally coordinated groups of sound-relations, i.e., these audible shapes made up of intervals, rhythms, harmonies and accents, themselves constituted the meaning of music (idem:31).

Listening is constructing, perceiving relations between sounds as they occur in space and time. The report concludes that listening to music requires such an active participation that it is "incompatible with states of slackness" (idem:47). It is only when attention to the making of the piece itself drifts that the **listener** becomes a **hearer** and starts associating freely and venturing personal and uncompromised interpretations about the meaning of a piece.

Transferring Lee's distinction to the experience of literature, we shall find the intuitive readers, the "loungers", who claim, among other things, that they only read for relaxation. Their pleasure does not derive from the task of critical reflection.

On the other hand, there are those readers who "sit up" to the words, observing the making of the text and aiming at a critical perception. These readers derive intellectual pleasure from taking stock of the relations in the text as they go about this more focused way of reading⁴.

This distinction may seem too clear-cut. People enjoy literature in many different ways. We agree that there are critics who may identify with "loungers" and who have instant taste and discrimination. However, our study addresses those readers whose attitudes must be cultivated. What is required in this case is an active commitment to the

construction of meaning and a controlled observation of the phenomenon. The more aware readers are of how language is being used to create the artistic fabric, the more able will they be to justify their responses.

It may be also argued that there are scales and gradations in the process of becoming aware, and that a person's degree of awareness varies during the reading of a text. We do not intend to measure awareness here. What we propose is a means of exercising the perception of textual relations so that it may help the student in the production of a valid interpretation.

Therefore, the technique of LitAw depends on the assumption that there are facts in a literary text which readers can use in order to arrive at a more sophisticated level of understanding. This technique focuses on the formal aspects of language (cf. Wallace, 1992:69).

2.2. Awareness and Visual Perception

**For much imaginary work was there;
Conceit deceitful, so compact, so kind,
That for Achilles' image stood his spear,
Grip'd in an armed hand; himself behind,
Was left unseen, save to the eye of the mind.
A hand, a foot, a face, a leg, a head,
Stood for the whole to be imagined.**

W. Shakespeare⁵

Stylistic patterns (see Chapter 1.2) are abstract combinations which take place in the reader's mind. In this section we shall examine in what sense visual perception can be related to the act of reading and how mental concepts are built from what is perceived on the page.

Reading is initially a visual -- or tactile -- activity, although we are only conscious of the abstractions which result from those stimulus events (Posner, 1973)⁶. Therefore, before going into a discussion on the awareness of the literary text, we shall present a brief account on how words in a text are perceived.

Awareness presupposes that some mental activity filters the individual's perception of the world (Gombrich, 1969). This mental activity, or **set**, determines how awareness will be brought about. Psychology defines **set** (in English) or *Einstellung* (in German)⁷ as

a temporary condition that predisposes an individual toward a particular response, or class of responses. This condition can arise from the task requirements, in the form of overt or covert instructions, or from context, expectations, or prior experiences ... A perceptual set... occurs when one perceives stimuli in accordance with expectations and context rather than on the basis of the actual physical stimulus in the environment⁸.

To illustrate **set**, let us consider the following example:

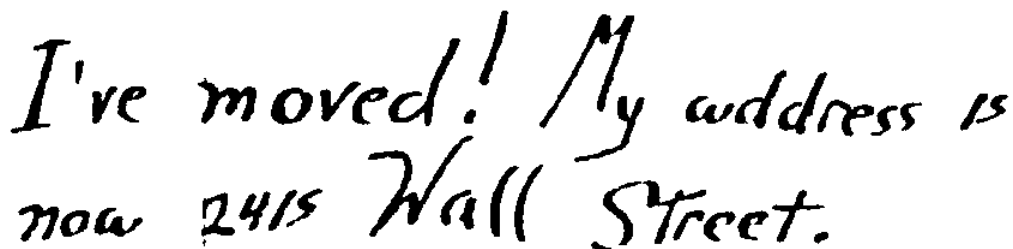
A handwritten note in black ink on a white background. The text reads: "I've moved! My address is now 2415 Wall Street." The word "now" is written in a cursive style, and the numeral "15" is written in a way that makes it look like a lowercase "l" with a horizontal bar, which is identical to the "l" in "address".

Figure 2.1. Identical graphic signs

When we read this note, we rarely perceive that the third person singular of **to be** and the numeral **15** are actually identical graphic signs. Neither do we notice that the first letter in **address** and the last one in **now** have exactly the same orthographic realization. We interpret them as different symbols, though they are graphically identical. Where we expect a number, we interpret the symbol as such. The same applies to the letters. This is one of the reasons why misprints are so often overlooked (cf. Margolis, 1987:144-5).

Here is another example⁹. In

PARIS
IN THE
THE SPRING

we tend to disregard the repetition of the article. We see the noun phrase and not the isolated words. Posner (1973:59) explains that

many aspects of our perception of patterns are governed less by the single event which is currently before us than by the set of patterns to which the present stimulus is related ... The judgement of any particular pattern is affected by the entire set of related things which the pattern activates.

To illustrate his point, Posner describes an experiment which involved showing the subjects two words simultaneously (**mouth** and **south**). The subjects reported only seeing either one or the other word. However, if the opposite of one of the words were shown first, like **north**, the subjects would tend to perceive the word **south**. Posner (idem, ibidem) concludes that

the verbal context provides an expectancy as to what type of visual information will be presented to the subjects, and the subjects are conscious only of the input which is associated with the context.

In other words, the perception of words or sequences may be influenced by contextual environment. Gombrich (1959) also defines **set** as the relation between what is expected and what is actually experienced. To him, culture and communication result from the interaction between what is expected and what is observed (cf. also Lee 1932:123).

Wittgenstein (1958) explains this phenomenon by affirming that we do not see with our eyes, but with our minds. There is a difference between the way the visual organs are affected by the external stimuli and the way we transform the stimuli into mental representations. In other words, a concept imposes itself over an image.

If we look at the following picture, we will invariably see the two straight lines as one single arrow. This suggests that our experience has been conceptual, not visual. Visually, the lines are not connected but we interpret the image based on our familiarity with the notion of a sharp weapon going through someone's head.

Another illustration which has been much used in psychology manuals is the duck-rabbit head (in Wittgenstein, 1958, II.xi:194e. See also Gombrich, 1959 and Taylor, 1980:75). In this case, representation comes into contact with a visual impression and remains there until another representation imposes itself. The observer's familiarity with both pictures -- of the duck and of the rabbit -- is a necessary condition. One interprets lines as representing a duck or a rabbit.

Once the trick is recognized, these lines become a representation of a third picture, the DR-head, not an animal, but a trick in psychology manuals. Hence, the same lines allow three different representations -- a rabbit, a duck, and the duck-rabbit trick.

The process of abstracting from sensory perception to semantic structure is a very complex phenomenon. Describing it more completely is beyond the scope of this thesis. Here we can only acknowledge that perception of language differs from the perception of an object. Language perception is more complex as another layer is added to the process. In language perception, at least two stages are required: the perception of the text and the perception of the proposition involved. Van Dijk and Kintsch (1983:22) remark that

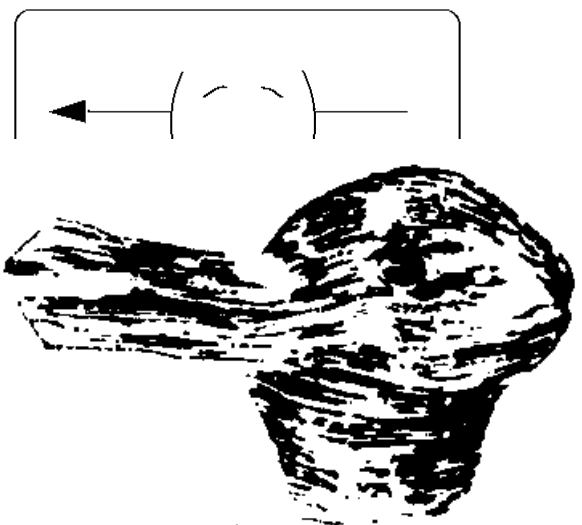


Figure 2.3. Duck-rabbit head

the perception of letters is influenced by our knowledge about words; ... the recognition of words is influenced by the sentence context in which they are presented; and ... sentence processing itself is determined by the status of the sentence in a text...

Here we have only sketched some implications of an approach to perception in order to shed some light on the word **awareness** -- an umbrella term involving the processes of perception, alertness, and decision-making.

In relation to literary texts, awareness involves not only visual perception, mental representation of the symbols on the page, and perception of language as a whole, but also the reader's potential to perceive the nature and the making of the text itself (cf. Chapter 3.2).

Moreover, awareness comprehends self-awareness, or the reader's ability to evaluate his/her own performance (cf. Chapter 2.6.1). Readers then have double roles -- as participants and as observers. Readers are both creators of meaning and critics of their creation.

For the sake of conciseness, our approach has been narrower than the title of this section suggested. We began by relating the perception of visual stimuli to the notion of awareness. Before we focused on perception of language, we pointed out the broad applications of this term. Much of the discussion has centred around the way a reader's perception of a word or sequence is influenced by context and expectation. In the next section, we shall question whether the reader's interpretation is based on intuition.

2.3. Intuition or Awareness?

It doesn't matter which leg of your table you make first, so long as the table has four legs and will stand up solidly when you have finished it.

E. Pound¹⁰

This section discusses a fundamental issue in hermeneutics: how interpretation initiates and how a reader knows which aspects should be privileged in the analysis. The solution is generally attributed to a magic word -- **intuition**. Our purpose is to find out why critics have overlooked this matter and explain why we consider the discussion relevant to the teaching of literary interpretation¹¹.

This thesis proposes that the verb **to intuit** should actually mean an interrelated network of social and cognitive activities. These connections take place when the reader interacts with a text with the purpose of constructing its meaning. Due to the speed of the connections, it becomes impossible to experience the event and be aware of it simultaneously (cf. also Lee, 1932:111-112). Gombrich (1969) explains that in reading we go through an experience by means of words but this is done so fast that we are not aware of the words themselves. We actually read through them. He adds that "understanding is so automatic that the symbol has become transparent and disappears from awareness" (idem:51).

In other words, **intuition** resists accessing. It involves an unconscious neural process. It can stand as a synonym for **insight**, which Kaplan & Simon (1990) define as a change in representation. This change implies a movement from one concept to another. In fact, a reader's mind is not a *tabula rasa*. By the time the individual is able to read, a series of concepts have already been developed and stored in his/her mind as frames or schemata (cf. Chapter 2.6.1; also Lee, 1932; Bartlett, 1932; Widdowson, 1983). These frames account for assumptions, expectations, projections, revisions, adjustments, etc. before, during, and after the act of reading (cf. Chapter 2.7). In contact with the text, a reader automatically makes connections between what is perceived and what is stored. A reaction or response follows. When the reader becomes conscious of this response, we can say an intuition has taken place.

This definition is essential for drawing the distinction between **intuition** and **awareness**¹². **Intuition** is the immediate response and is subject to a certain degree of variation, depending on differences between readers. **Awareness** is worked at. It implies the thinking about the act of reacting itself. Hence, **intuition** is the first moment in a literary experience.

Distinguishing between **intuition** and **awareness** has not been the practice of literary scholarship. Critics are sophisticated readers who have already developed their own interpretative skills and do not describe the process of how they arrived at their proficiency.

Even when arguing for a more objective approach to texts, critics attribute the selection of data for discussion to intuition, or

the fact that the analyst, as reader, has *certain intuitive impressions* of a set of stylistic effects -- *intuitions* which should be open to linguistic justification of a closer study of the text (Burton, 1980:5)(my italics).

In other words, Burton is very clear about the ability the reader has of picking up the relevant patterns and then proceeding with the interpretation. However, she does not discuss how the individual acquires this "set".

Here is another example. In his study of the reception and production of metaphors, Lecerle (1990:170) reminds us of Aquinas's aesthetic theory when he contends that their first characteristic is "illumination". In fact, Lecerle bases his explanation on the Joycean concept of epiphany¹³. Lecerle writes:

A live metaphor is an occasion for a minor, or a mild, epiphany ... The syntactic frame "naturalizes" a semantically alien sentence, turns it into an assertion that, in its unpredictability, conveys an insight. There is a sense in which, when one is confronted with a good metaphor, the strange combination of words is deeply right. We had never thought of it that way, or in that light, but now we see it. And we experience something akin to the release of tension - the jubilation - that according to Freud is the effect of a successful joke. In other words, we have an intuition -- as of a truth so far concealed and suddenly revealed -- that anticipates on our understanding. We are not necessarily clear as to the content of what we see in a flash -- all we know is that the clouds of unknowing have, for a brief moment, dissolved.

Lecerle is vague as to how the insight is provoked (cf. *strange, confronted with, something akin to the release of tension*). The metaphor is personified and the patterns gain a life of their own (cf. *syntactic frame naturalizes... turns it... conveys...*). The reader, an outsider, merely observes the phenomenon taking shape. The individual is the passive subject (cf. *one is confronted*), baffled by the *live* metaphor, which, like a chemical reaction, produces a *strange combination*. However, Lecerle does suggest the existence of two different moments -- the experiencing and the observing the event. He continues, "then, and only then, do we work our way backwards in order to understand the metaphor, i.e., to construct the meaning that is revealed in a moment of epiphany" (idem:174). In other words, the process of awareness is clear in his account but the initiating moment remains impressionistic¹⁴.

In his treatment of methodological issues in the teaching of literature and stylistics, Widdowson (1975:1) signalled the direction, although he himself did not follow it. He suggests that

... most stylistic analysis, even that which purports to follow a strictly linguistic line, is ultimately based on the kind of intuitions which it is the purpose of literary scholarship to develop.

Widdowson assumes that all interpretations including those which favour objectivity start from a very indefinite moment which has not been explained so far¹⁵. He also accepts that there is more than one kind of intuition. This postulation is not reappraised in his more recent publication (1992). Here we shall demonstrate that what Widdowson calls "intuition" ought to be included in the notion of **awareness**.

One of the most active scholars in the area of stylistics and literature, Carter (1979:53) has also stressed that patterns of meaning are first discerned by the "intuition" of the analyst with subsequent analysis providing a means for the objectivisation and substantiation of these "impressions". Later, however, in collaboration with Brumfit (1986), Carter addresses the issue in more detail, especially as regards the EFL context. Brumfit & Carter (1986:3) question:

it is not altogether clear what exactly is primary in our response to a text. Is it an experience evoked in us exclusively by what is referred to in the text? Does it result from a relationship between a particular text and material we have read previously on related themes or in a special "cultural" tradition? Or is the initial response a linguistic matter of reactions to striking phrases or to an unusually

evocative stretch of language? Or is it some combination of these separate reactions? Crucially for non-native speakers, how much of the text do we have to understand linguistically before reading gives rise to productive responses and intuitions?

In other words, there has been a conceptual shift. The authors realize that a reader's initial response to a literary piece cannot be taken for granted as a subjective fact. However, they cannot find convincing answers as they are looking into a cognitive phenomenon solely from a linguistic perspective. Their merit is to have extended the debate to the non-English speaking situation.

As we have stated above, **intuition** must be redefined mainly because it has been a hindrance to both English and non-English speaking students initiating their literary studies. Most literature teachers will have already heard from students that they are not gifted or that they lack artistic sensibility. This thesis holds that intuition is both innate because it involves inaccessible mental operations processed by the brain, but it can also be improved with experience.

The reason critics are not explicit about what has led them to privilege certain patterns may be found in their practice. They initiate their analyses from a second stage, when a hypothesis has already been drawn. Therefore, when they produce their interpretations, they tend to take for granted certain practices with which they have become familiar. Chomsky (1968:21) remarks:

One difficulty in the psychological sciences lies in the familiarity of the phenomena with which they deal. A certain intellectual effort is required to see how such phenomena can pose serious problems or call for intricate explanatory theories. One is inclined to take them for granted as necessary, or somehow "natural".

Familiarity in this case has a blinding effect. It can be familiarity with the subject, with the language, or with both (cf. Chapter 2.7). In Chapter 3.1.2 we will discuss how the notion of literary language as a deviation results from the effort against this automatization (cf. Shklovsky, 1917).

So far we have seen why literary scholars as a rule are not concerned with the question of **intuition**, a perception which seems incapable of analysis. We have also argued for the relevance of the subject, especially as regards teaching. Now we shall look into an attempt to address the issue.

One of the first descriptions of how literary patterns are arrived at dates back to Spitzer's (1948) **philological circle**. Spitzer suggests that stylistic analysis initiates with an aesthetic response, moves towards linguistic description and then circles back to aesthetic response. It is his view that intuition is necessary to identify stylistic features. Once these features are analysed, a pattern is discovered. The third stage sets a confirmation or disavowal of the validity of the original intuition. Aesthetic evaluation derives from the closeness between the initial response and the confirmation. In Spitzer's words (idem: 19) the circle is "our to and fro voyage from certain outward details to the inner center and back again to other series of details". Crystal (1987:78) draws the following figure:

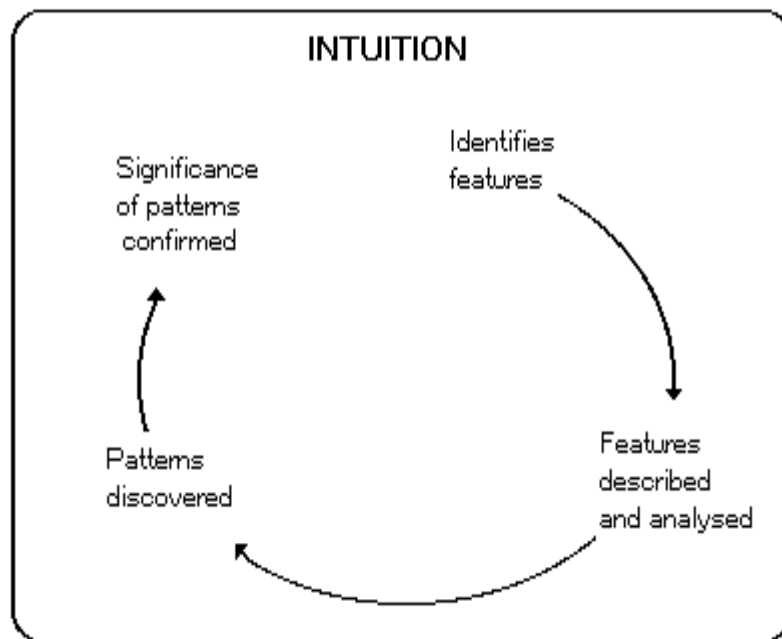


Diagram 2.1. Spitzer's Philological Circle

The problem with Spitzer's theory is the taking for granted the notion of intuition. To justify Spitzer's diagram, Sinclair explains¹⁶ that

a skilled reader reads a text unanalytically in the first instance, and acquires a meaning/effect base. Further exploration of the text may disclose formal arrangements that have no established meaning correlations in the language, and the reader, now analyst, may postulate an *ad hoc* correlation for this text only. This fits Spitzer fairly closely.

Culler (1975:73) also supports this argument that one first starts from the literary effect and then looks for the specific linguistic details which account for these effects. Although we agree with these observations, it is clear that the distinction between intuition and awareness is not addressed. Nor is the discrimination between skilled and unskilled readers of literary texts tackled. The question remains unanswered. How is the "founding" pattern acquired to begin with? Stating that "practiced performers of literature have developed an *instinctive* sensitivity to the subtleties of linguistic expression and have a *feel* for significance" (Widdowson, 1985:190, my italics) does not contribute effectively to the teaching of literature.

A conciliatory answer has been offered: **intuition** is an intelligent, informed response to the text (Cummings & Simmon, 1983). In opposition to this notion, we claim that **intuition** and **awareness** are actually two different moments of the same process. **Intuition** is not a subjective, magical, or mystical event. In the act of reading, connections take place in the brain which are too fast to be experienced and observed simultaneously. On the other hand, **awareness** implies slowing down the process and working retrospectively to build up a line of thought which can be evaluated.

The pedagogical applications remove disconcerting situations in which students find themselves at a dead end. For example, certain questions could be avoided. It is a common practice in current anthologies with study aids to use the formula "What is the *x* of *y*?", where *x* stands for words such as "atmosphere" or "mood" and *y* for "setting", "play", "novel", etc. Instead, if students are asked to voice the effect the text had on them (sad, comic, of perplexity, etc.) and then investigate what textual patterns can be responsible for that effect, they will be more confident and more successful in producing an interpretation. The effect is

subject-dependent but not subjective (see Chapter 4.4.2). Students may then realize that perceiving the mood or the atmosphere of a piece is actually acknowledging that certain words and expressions in certain linguistic contexts bring about certain effects. The benefit of this approach is that students can be trained to perceive future patterns.

Summarizing, it does not matter which patterns readers choose to begin their interpretation as long as they realize the contribution of these patterns to the effect of the text. The more the readers are aware of the possibilities of linguistic realizations, the more automatic will their perception be and the better will their position to verbalize the reading experience be. Thus, understanding a literary text requires two moments: **intuition** answers for the initial stage; **awareness** constitutes the second.

2.4 . Awareness, Reception, Response

**...The play's the thing
Wherein I'll catch the conscience of the king.**
W. Shakespeare¹⁷

**Criticism is a search for the properties of the object
that may justify the direct reactions.**
J. Dewey¹⁸

In Chapter 2.1 we discussed how the reader's attitude influences the aesthetic experience. In Chapter 2.2 we examined how the reader's perceptions "supply judgment with its material" (Dewey, op. cit.:298). Both these sections assume that the individual's experience is central to the production of meaning. They are in line with a major belief of this thesis that although certain things are inescapably entailed by the written text¹⁹, all meaning is not intrinsic to it. Meaning is an event resulting from the coming together of reader and text. In this section we shall resume the argument that the understanding of a written text results from an act of personal experience in which the reader responds to elements "given" (Iser, 1978) in the text. Awareness is achieved after the reader responds to these elements.

This section reviews some basic concepts of literary theory which give support to our approach. We maintain that affective responses which have often been disregarded by theories of aesthetic reception are necessary for an aesthetic response, that is, to the development of a metalinguistic reasoning that allows readers to verbalize aspects of a particular text²⁰. In other words, an affective response, or the first and immediate reaction, may be followed by what Dewey calls "a clearer consciousness of constituent parts" so as "to discover how consistently these parts are related ..." (op.cit.:310).

Literary research with an orientation toward the reader has yielded two basic descriptions: the *Rezeptionästhetik* (or Theory of Aesthetic Reception) of H.R. Jauss, and the *Wirkungstheorie* (or, Theory of Aesthetic Response) of W. Iser²¹.

In broad terms, Jauss (1970) offers a historical perspective to the reception of a work of art (for a survey, see de Beaugrande, 1988a:357-382). He takes into account the several interpretations that a specific work has had through the times. This diachronically-inclined investigation produces a kind of history of effects that a text has had on different audiences and which affects the way an individual responds.

The series of changing viewpoints is also considered by Iser (1978). In a later work (1989), he accommodates the different trends of reception theories into a more general frame of reference. His description of response is based on four theoretical pillars:

1. **Gestalt psychology**, which explains how the textual patterns can be understood as more general structures. This aspect is developed by Iser's *Wirkungstheorie*.
2. **Social psychology**, which investigates the interaction between reader and text. This dialogue or "dyadic interaction" (Laing, 1961) of the literary experience is studied by what Iser called *Die Appellstruktur der Text*. It holds that in the process of interaction between text and the reader meaning is created.
3. **General Systems theory**, which sustains that the text is a structure within other structures. It deals with the relation between the text and other contexts (cf. Chapter 4.4.4). According to this perspective, reading is historically conditioned.
4. **Phenomenology**, which investigates how the text is a product of the reader's imagination. In other words, how the text comes into existence as an act of ideation. This perspective aims at epistemological statements about existence of the text.

Iser's theoretical framework is summarized in his definition of reception (1989:50):

what I call reception is a product that is initiated in the reader by the text, but is molded by the norms and values that govern the reader's outlook. Reception is therefore an indication of preferences and predilections that reveal the reader's disposition as well as the social conditions that have shaped his attitudes. If I wish to assess such a product, I must examine the response-inviting structures of a text, so that I can see how much the actual reader has selected from the potential inherent in the text.

Here Iser has actually conflated the terms **response** and **reception**. He acknowledges the social and historical factors which constitute both text and reader and, at the same time, regards the text as a response-inviting structure. In fact, Iser seems to have been able to put together several trends in one general framework (cf. Chapter 2.6.2 for a discussion of Iser's theory of indeterminacy of the text)²².

In this section we simply want to distinguish between what Iser calls **aesthetic** and **non-aesthetic responses** and argue that the latter are not to be dismissed, as he does, but should be taken into account as a starting point for LitAw.

What Iser calls **non-aesthetic responses** are affective reactions such as tears, joy, laughter, horror, celebration, etc. He contends they are "subsequent reactions" (1989:62), irrelevant to an aesthetic reading. Wayne Booth suggests that Iser separates "dramatic personal encounter" from "emotional-free account of encounters" (in Iser, *idem*, *ibidem*).

Although Iser dismisses emotional responses because they occur after what he calls the acts of ideation, when the reader has already processed the text and produced his own interpretation, we understand them as primary to LitAw. Based on the relevance of personal experience to the understanding of a literary work, Rosenblatt (1938, 1983:28) writes:

The genesis of literary techniques occurs in a social matrix. Both the creation and the reception of literary works are influenced by literary tradition. Yet, ultimately any literary work gains its significance from the way in which the minds and emotions of particular readers respond to the verbal stimuli offered by the text.

As we have tested empirically (cf. Chapter 7.2), **non-aesthetic responses** may function as cues to verbal patterns. Working inductively, we can start off from these emotional reactions to find what elements in the text provoked them²³. For instance, laughter may result from an incompatibility of textual perspectives. The act of laughing in itself is not an aesthetic response, but may signal to the reader the point where incompatibility lies. Aesthetic response, then, involves describing the verbal patterning. Response brings meaning to these structures, answering why and how the text has triggered, stimulated and controlled the reader's interpretation.

Without playing down the role of the history of reception, this thesis takes a synchronic perspective of how a reader responds to a text. Iser (*op. cit.*:65) writes:

My concern is... with... the aesthetic object, which has to be created in the act of reading by following the instructions given in the text.

The Pilot Project described in Chapter 7 creates conditions for an EFLit reader to identify and respond to the patterning of textual feature. It looks into how the reader "operates" the "instructions" provided by the text in order to "produce" the aesthetic object. LitAw investigates how readers arrive at these "instructions" and how they are able to make explicit statements about them.

In sum, we have argued that non-aesthetic elements can signal textual patterns to which the reader, pre-conditioned by a social history and ruled by conventions, reacts. We

have claimed that affective responses, far from being dismissed, may be a starting point for the identification and discussion of stylistic patterns.

2.5. Awareness and Interpretation

**...Believe me, Ernest, there is no fine art
without self-consciousness, and
self-consciousness and the critical spirit are one.**
O. Wilde²⁴

In this thesis we are constantly dealing with terms of a wide range of applicability. This section is not an exception. **Interpretation** is a word claimed by many disciplines. Glasersfeld (1983:207) remarks that

**It is used by musicians and lawyers, actors and priests,
translators and psychoanalysts, computer scientists and
diagnosticians, and some time ago, when private airplanes
began to come on the market, there appeared publications
on how to interpret clouds.**

Here we shall see **interpretation** in reference to literary studies. We shall use it as a synonym of **hermeneutics**, or the interpretation of written texts. In establishing the difference between literary awareness and literary interpretation or criticism, we focus on the activity of interpreting itself rather than on the result of the activity. We follow Gumbrecht's definition of **interpretation** as "any activity which gives (tries to give) sense to objectifications of human actions" (1989:377). In other words, Gumbrecht advocates against the practice of interpretation as a device to find an ultimate truth.

Both awareness and interpretation share the same beginnings -- the reading of a text. For the purpose of our argument, we must distinguish three moments or modes of the reading experience. It may be argued that these moments do not occur in a sequential order nor are they necessarily discrete. There seems to be much overlapping and the boundaries between responding and observing may become rather fuzzy. These moments may also seem to occur simultaneously. Therefore, the following discussion should be regarded as a didactic strategy which is imposed on us by the linear convention of writing.

The first moment corresponds to the physical act of reading, that is, the reader's perception and instant decoding of the signals on the page (see Chapter 2.2). The first immediate affective response is also obtained (see Chapter 2.4), followed by the first impression, which may not be verbalized. Here the reader creates a new text which does not come into existence. It remains entirely personal and private. For instance, when reading a joke, a reader may laugh and say the story or strip is funny, quite true, morbid, etc. Any literate person is able to carry out this activity. This mode fulfills the objective of reading in general. It is a condition *sine qua non*. Experiencing literature cannot be done by proxy.

The second moment requires some degree of training and motivation as it involves a metacognitive experience of the text (see Chapter 2.6.1). The reader has made some sense of the text and now he/she observes the text by re-reading retrospectively, that is, by taking stock of the text as a whole so as to identify the linguistic elements which can be made responsible for his/her initial reaction. In order to find the patterns and describe them, the reader will need some degree of metalinguistic knowledge. The reader then reports the effect of the writer's choice of language, though not necessarily in a well-structured piece of prose. This is an intratextual event, the objective of which is to obtain from the reader an informed account of his/her experience.

The third moment is basically an intertextual²⁵ event. In producing a formal account of his/her reading, the reader formalizes a new text. The literary text is regarded as part of a larger system where history, ideology, literary tradition and conventions have a significant role. This mode is the objective of literary interpretation (see Chapter 4.1.2).

What generally occurs in literature classrooms is that the first two moments are taken for granted and during the first classes the student is already expected to produce literary criticism²⁶. In today's multimedia generation, although literate, the student may not even be a reading person. Like throwing children into a swimming-pool, some eventually learn how to swim. Others learn how to dread or hate the water.

We believe that the experience of LitAw fosters self-confidence. In fact, the student learns how to avoid parroting other people's interpretation. Here, Glaserfeld (op.cit.:216) reminds us that consulting other critics' texts is also problematic. He justifies:

If, indeed, the reader consults critics' or other experts' comments and explanation, this complicates the issue because it introduces yet another interpretive step. What critics and experts say, again, can relate only to their own interpretation of the author's text and not to the author's intended "deeper" meaning. A reader thus must interpret what they say about their interpreting.

A LitAw programme can be regarded as a rite of initiation into interpretation. Awareness begins with the reader's affective reactions to the text. It exercises what Aristotle had described in *Ars Poetica* and which Wilde (op.cit.:76) explains:

Concerning himself primarily with the impression that the work of art produces, Aristotle sets himself to analyse that impression, to investigate its source, to see how it is engendered.

Centuries later, Halliday (1990b:345) still holds the same view:

In the most general terms, the purpose of analysing a text is to explain the impact that it makes: why it means what it does, and why it gives the particular impression that it does...

Both LitAw and literary interpretation may be text-oriented. If, on the one hand, LitAw looks at the linguistic elements for a justification of responses, on the other, literary criticism investigates the text for a proof of something else -- characters, plot, theme, conventions, etc. Literary criticism discusses a text in relation to pre-established models (Widdowson, 1979:118; de Beaugrande, 1983:96-7). LitAw allows the reader to justify a response to the text but does not create new models of interpretation. Hasan (1985:27) explains:

The ability to appreciate verbal art is a necessary but not a sufficient condition for the development of models capable of throwing light on the nature of verbal art, just as the ability to use language is a necessary but not sufficient condition for the development of models capable of throwing light on the nature of the system of natural language.

A LitAw programme provides readers with an accessible and objective metalanguage with which to describe and evaluate the aesthetic experience. This involves an explicit conscious analysis of verbal artefacts -- a sensitivity which can be cultivated. Here is one of the Pilot Project (see Chapter 7) students' reports after her second class in LitAw:

(I realized) ... how I could bring the text to my reality, to my experience. I believe these notions helped me build my first

interpretation. I say first because at home, rereading the text, I noticed more elements, more details about the poem which confirm the meaning I did not have at first.

2.6. Awareness and Other Areas of Knowledge.

Just what blend of aesthetics, psychology, and linguistics turns out to be the best specification for a stylistic category remains to be seen, and in fact awaits an adequate theory of literature.

J. McH. Sinclair²⁷

Defining LitAw is an interdisciplinary venture. It requires an understanding of how the reader goes about filling gaps in the pursuit of meaning and a notion of the metacognitive processes which result from the individual's perception of the language in a text. The previous sections dealt with visual perception (cf. Chapter 2.2) and intuition (cf. Chapter 2.3). This section examines in more detail the three theoretical pillars which support the definition of LitAw. It draws from cognitive science, phenomenology, and linguistic description those aspects which may be relevant to this definition. More specifically, it looks into how the cognitive approaches to reading, Iser's description of indeterminacy and Firth's linguistic postulations have been used as theoretical bases for developing the concept of LitAw.

2.6.1. The Influence of Cognitive Science

This section presents a highly selective investigation on some cognitive models in order to examine their contribution to the development of LitAw. We also make reference to how studies in metacognition have been turned to practical terms in the Pilot Project. Our belief is that "knowing about knowing" (Brown, 1975) influences the process of learning.

One of the basic issues here is whether LitAw is automatic or whether it is a conscious event. It will be our contention that LitAw is a controlled activity and as such can be taught²⁸.

LitAw shares with reading the assumption that it is a "special conscious activity of mind" (Wittgenstein, 1958:62). In other words, an awareness of the literary text requires at least partial de-automatization of perception. For instance, the initial perception of linguistic patterns may be automatic for skilled readers but the process of evaluation will always be slow and controlled²⁹.

The more experienced the readers, that is, the more they know about literary devices, conventions, techniques, the more automatic will their process of identification be. Garner (1988) comments on Brown's findings (1980) and explains how skilled readers, on encountering some difficulty, will try to "debug" the problem by turning off the "automatic pilot" that characterizes skilled performance. She remarks that "able readers are more likely than less able readers to determine what to read and how to read it more strategically" (op. cit.:22).

Sensitive readers, consciously or not, can be assumed to go through an analytic-synthetic process similar to that articulated by literary critics. However, it must be pointed out that identification is not analysis. A detailed exegesis requires a more controlled event. LitAw presupposes the ability to observe differences, to set relations, to be prepared to build an argument for evaluating the text, and, most importantly, to monitor comprehension.

This monitoring can be understood in terms of metacognition. Garner (op. cit.:11) defines metacognition as "a body of theory and research that addresses learners' knowledge and use of their own cognitive resources"³⁰. To Flavell (1981:37), metacognition is "knowledge or cognition that takes as its object or regulates any aspect of any cognitive endeavor. Its name derives from this 'cognition about cognition' quality". Metacognitive studies can also be used to explain aspects of the process of reading, as for instance, how individuals of various ages and language proficiency levels exert control over their reading process.

Flavell (op.cit.) identifies three classes of variables in the study of metacognition: knowledge, experience, and strategies. Metacognitive knowledge deals with storable information about cognition, about the tasks the readers face, and about the strategies they employ. In Flavell's (1979:907) broad terms,

Metacognitive knowledge consists primarily of knowledge or beliefs about what factors or variables act and in what ways to affect the course and the outcome of cognitive enterprises.

In terms of LitAw, the storable information may refer, for instance, to readers' verbalization of their understanding of a text, the difficulties encountered in reading, their expectations as to what route to follow, etc. Metacognitive knowledge makes evident intra-individual differences. Different readers will read and react in different ways (but always within a certain range of possible responses; see Chapter 5.1).

Metacognitive tasks answer for the work readers know they will have to develop, as, for instance, that some patterns will have to be identified and described if these individuals intend to justify their interpretation.

Metacognitive strategies involve readers' knowledge that a reinspection of the text will have to be carried out, that is, that they will have to check the patterns identified in relation to the whole. Metacognitive strategy will be implemented according to the individual's motivation. Strategies will not be developed if a reader does not feel like investigating how the patterns work in the making of the text.

Metacognitive experience depends on the individual's history. Reference build-up (Chapter 2.7.3) may benefit from the reader's conscious attempt to make connections between present and past experiences. If, in the process of reading, the individual brings to mind previous encounters with a certain pattern, as, for instance, in a literature class where the student happens to recognize the re-occurrence of a pattern, we can say that the person is having a metacognitive experience. Garner (op.cit.:19) explains that in such cases

...metacognitive knowledge has served as a base for metacognitive experiences that are perhaps best described as awarenesses, realizations, "ahas", or ... "clicks and clunks" of actual or anticipated cognitive success and failure.

Finally, strategy use occurs when the individual translates knowledge into action.

Metacognitive studies are based on investigations of how reading is processed. The problem here is that these studies seem to branch from two different lines of research -- those stemming from Piagetian developmental theory (cf. Flavell, 1981; Alderson & Urquhart, 1984; Rumelhart & McClelland, 1986; also Chapter 7.1.4.1) and those based on information-processing research (Wilding, 1982; van Dijk, 1979a; 1979b). The former line of study has served as a base for metacognition, whereas the latter has supported what is called executive control. Garner (op.cit.:24) explains that not only do these two orientations make different assumptions about how people learn, but they also speak different languages. She writes:

Metacognitive researchers talk about development of knowledge and awareness and conscious access. Executive control investigators talk about instruction for symbol manipulation, storage, input-output, and information flow.

We shall now look into some specific theories of cognition which support one or the other branch of cognitive investigation.

Wilding (1982) reviews a series of information-processing studies which describe how the senses receive an input, how this input is processed in the brain, and then transformed into a significant piece of information. According to these studies, the distinction between awareness and perception should be set on a cline, with perception without awareness on one end, and, on the other, full awareness with focused attention.

The lowest levels on the cline are those basically processed anatomically and neurophysiologically without the individual's control. This is an automatic reaction that may happen without the individual's intention. Subliminal messages try to work on this level. For instance, when walking on the beach, one is not constantly aware of the feel of the sand, unless it is too hot or something else draws one's attention to it.

At the other end of the cline, we find focused attention (full awareness), requiring the subject's active role. In performing a task that has been asked of him/her, the individual is totally involved.

Wilding (op.cit.) also describes how symbolic cognitivists claim that our senses pick up stimuli and automatically send them to a kind of general purpose processor which, like a CPU, is limited in its capacity. As it can only do a limited amount of processing at a time, selection comes into play. For instance, when listening to two simultaneous

loudspeakers, we tend to keep one to the background and pay attention to the other one, unless we are told to listen to both at the same time.

Cognitive information-processing studies describe how we understand and interpret at a first stage and then assign values at a second stage. Van Dijk (1979a) argues that the information the reader gathers from the text is constructed into conceptual representations which are then stored at different levels in one's memory³¹. Memory, in its turn, can be thought of as short term memory (STM), or working memory, and as long term memory (LTM), where the information from STM is eventually deposited. Information is brought back from STM or, in some cases LTM, by a process of **retrieval**, which accounts for the phenomenon of recognition or recall. Due to limited capacity, information is stored in significant chunks to provide economy, and to facilitate retrieval, all the information must be stored in an organized way. What provides the coherence of this organization are the semantic macro-rules, responsible for reducing and organizing the information.

Van Dijk (1977) argues that when a person reads a story and summarizes it, this reader is deleting irrelevant propositions, generalizing, and constructing one connected proposition which may represent the various propositions in the text. Van Dijk (1979a) affirms that what guarantees this coherence are the knowledge structures variously called **frames** (Minsky, 1975), **scripts** (Schank & Abelson, 1977), or **schemata** (Rumelhart, 1975)³².

In other words, according to van Dijk (1979a), information is stored into structures known as **frames**³³. A cognitive set, on the other hand, involves attitudes, interests, and opinions a reader may have in relation to a text (see Chapter 2.2). Because it is influenced by context, the **cognitive set** is variable. Van Dijk (1977) postulates that this is what accounts for the variation of opinions and for the different macro-structures³⁴ one can derive from the text. The same reader may summarize a text in different ways, or find other themes more relevant at different times. Hence, **frame** is where general knowledge is stored in LTM³⁵, whereas **cognitive set** organizes and combines attitudes, needs and wants towards this information and is thus contextually-dependent³⁶.

We have offered this abridged description of information processing to show that reading literary texts shares some basic principles with reading texts in general. According to this view, a reader understands a poem by constructing macro-rules and assigning coherence to the propositions. The individual reads the poem in relation to a frame, responding to a cognitive set. The cognitive set is thus responsible for the way the reader ultimately interprets the text.

Pedagogic applications based on information-processing models require focus on pre-reading activities, where students are motivated into activating their cognitive sets, which, in turn, serve as a basis for the connections the students make. In terms of literary texts, the frame includes prior knowledge of discourse conventions and previous literary experience.

Information-processing description may also help disclose some problems in the teaching of literature. Wilding (op.cit.:103) states that attention can be "voluntarily directed to different parts or aspects of the input, or biased towards them by instructions, motives or expectancies". In this case, if students are asked to look up the use of green and maroon in *A Portrait of the Artist as a Young Man*³⁷ and connect these instances with the notion of political dissent, they might conclude that the novel is a book on politics and disregard the many other aspects it presents.

Therefore, teaching literature in a too directed way may be harmful. If students are given instructions and tasks and are expected to perform exactly as it has been suggested, little room will be left for creativity (cf. Short & Breen, 1988a; 1988b).

Teaching literature is allowing the students to find their own connections, and to be explicit about them (see Chapter 2.7.2). This is how variety and multiplicity of

interpretations can be guaranteed. Literature differs from everyday texts, among other things, due to its tolerance of polysemy (see Chapter 3.1). If the teacher anticipates the experience by indicating in the task what is to be expected, much of the aesthetic possibility of the text will be preempted.

We shall now examine how the cognitive model of information-processing and stored memory has been questioned by connectionism.

Information-processing research proposes a model of the mind as a serial digital computer. On the other hand, other lines of research like Parallel Distributed Processing (PDP) propose a connectionist model.

Before studies into PDP were developed (Rumelhart & McClelland, 1986; Bechtel & Abrahamsen, 1991), the notion that the brain did not simply store information but that meaning resulted from cues and instructions that guided the mind had been questioned by Bransford & McCarrell (1977).

PDP does not focus on information that is stored and retrieved but on causal processes and dynamic activation. Rumelhart & McClelland (op.cit:9) write:

any theory that tries to account for human knowledge using script-like knowledge structures will have to allow them to interact with each other to capture the generative capacity of human understanding in novel situations.

Connectionists argue that information is not processed in a neat and linear way. Based on the neurophysiology of brain work, PDP questions whether symbols have a syntax, or whether they can be stored and retrieved from memory. PDP engages in a neural network model of inhibitions and excitations. Their basic postulation is that there is a network of elementary **nodes** and **units** which are connected to each other. When activated, they excite or inhibit other units (hence, our choice of the term **excitatory** in Chapter 1.1). Instead of symbolic representation, they favour a dynamic system.

PDP holds that it is the simultaneous mutual constraints in words which explain our example in Chapter 2.2, where we read the same symbol [] as a letter or a number depending on the context. Likewise, they describe the mutual influence of syntax and semantics. Rumelhart & McClelland (op.cit.) offer the following example:

**I saw the Grand Canyon flying to NY.
I saw the sheep grazing in the field.**

Here, they observe that syntactic rules would not justify the meaning. It is the semantic relations that indicate the route towards the syntactic difference between the two sentences. This example, however, has been criticized by linguists who argue for naturally-occurring discourse (see Chapter 3.2). They would argue that the two sentences do not pose any problem as natural context would provide disambiguation.

On the other hand, PDP's insistence on multiple frames is very useful to an understanding of reading literature. It is now known that we must bring into play more than one frame or script³⁸ when we face certain situations. Some occasions require two or three scripts merging so that we can understand a novel situation. Parody is one example which depends on multiple frames. A sophisticated reading of Joyce's *Ulysses* would at least require that the reader referred to the urban context of Dublin and merged it with that of *The Odyssey* and the epic convention.

PDP has replaced the computer metaphor of symbolic cognition with the brain metaphor. It engages in the studies of the microstructure of cognition which, as researchers believe, may explain the multiple and simultaneous processing of cognitive acts. PDP has helped regard the processes that occur in the brain as psychologically precise mechanisms.

Instead of regarding knowledge as a set of stored rules, PDP proposes stored connections. Connectionists consider Piaget's notion of accommodation and assimilation as basic to the learning process. Hence, learning is no longer absorbing rules but making

connections between the patterns recognized (cf. Margolis's (1987) description of **P-cognition**). These patterns are linked by either sequential (or causal) relations or matching (or similarity and difference) relations.

Pattern recognition and representation of knowledge can be processed in a network of excitations, inhibitions and constraints, which explain the phenomenon of choice, central to the notion of stylistics (see Chapter 4.1).

In terms of learning processes, PDP researchers argue for a middle-ground between the innate and the empiricist postulations. Like the nativists, they hold that learning processes depend on innate characteristics which are determined by the evolution of the organism. However, they do not sustain the rigid predeterminist view in which nativists believe. On the other hand, like the empiricists, studies in PDP accept that the organism is free to adapt to its environment, but they do not support the empiricist notion of the mind as a *tabula rasa*. In sum, studies in PDP claim they maintain an agnostic position in relation to how learning is acquired (cf. Rumelhart & McClelland, op.cit.:139-142).

As we have seen, information processing models and Piagetian rooted descriptions make different assumptions of how learning occurs. We have avoided taking sides as, for the purposes of LitAw this distinction is not crucial. In the way that we hope will become clear as our argument develops, what is relevant is that cognitive research has helped understand how readers may take cognizance of their cognitive processes, that is, how they develop an understanding of these processes.

On the practical side, the Pilot Project (see Chapter 7.2) resorted to metacognitive theory as a support for the evaluation essays the students had to write for each Unit. Obviously, what the students said they did and what they actually did sometimes turned out to be discrepant. In terms of LitAw, this is not a problem. LitAw is not interested in finding out what actually happens in the mind. It only requires that students go through a process of metacognition, or the "knowing" and "knowing about knowing" (Brown, 1975).

2.6.2. The Influence of Phenomenology

In the previous section we discussed how comprehending involves the grasping of relations in the text and how the students experience the text with their mind's eye (Chapter 2.2). However, what happens with those elements which cannot be perceived in the text? Or how to explain that a word may be perceived in multiple ways by the same reader, generating for instance, ambiguity? Although presenting a clear description of how readers perceive a text, cognitive theories do not account for how readers deal with misunderstanding or ambiguities creatively.

In this section we shall see that misunderstandings, gaps, misreadings, multiple readings may not necessarily be a problem. In fact, in literature, the reader is often intentionally led into them. This is where phenomenological analyses of the reading process may contribute towards an understanding of how readers make sense of a literary text. In defining LitAw we need a critical approach that is philosophically sound and pedagogically useful.

Phenomenology sees the text as a construct of the human consciousness. It assumes that literature is an expression of lived experience (cf. Tompkins, 1980). Nisin (1959:15) writes:

L'oeuvre est objet, certes. Mais cet objet reste virtuel aussi longtemps qu'aucun regard ne l'actualise. Il importe donc de préciser notre rapport à l'oeuvre.

According to Iser (1971; 1972; 1975; 1978), not only are words read in "meaningful chunks", the significance of which differs from the perception of isolated words, but there are also many blanks the reader must fill in due to the many possibilities of realization reading may create.

Every text contains indeterminate moments, or what Ingarden (1965) called *Unbestimmtheitsstellen* ("spots of indeterminacy"). For instance, an apparently simple statement such as **The table is red** may produce many of these spots, such as: What shade of red? What material is the table made of? How many legs does the table have? How close is this table to the observer? It is this indeterminacy which answers for the fact that the reader must transcend the text and complete the picture to reduce the ambiguities.

Iser's theory stems from Ingarden's postulations. Still influenced by the classical concept of harmony and totality, Ingarden recognized that there were limits to these places of indeterminacy if the work was ultimately expected to constitute an harmonic albeit polysemic whole. Unfortunately, not only was Ingarden vague as to what those limits were but neither did he consider discord or ambiguity as valid possibilities of realizations.

Ingarden held that ambiguities had to be solved. To him, indeterminacy **demanded** completion, and the way readers supplied completion was by referring to their repertoire. If, for instance, we say **an old man**, we will necessarily complete the mental picture with a grey-haired image.

Ingarden also understood reading as a one-way incline, from text to reader. In addition, although he inveighed against psychological approaches to literature (which were gaining momentum in 1933, when he wrote the first edition of his book), Ingarden still based his definition of aesthetic value on an emotive criterion. To him, the spots of indeterminacy only existed to be filled so that **emotion** could be generated. Nothing could have been vaguer than his description of the reader's way into the text -- that is, through empathy.

Picking up from where Ingarden left unresolved, Iser reformulates his predecessor's postulation that these spots of indeterminacy demand concretization. This is how Iser (1989:285) sees it:

Ingarden employs the concept of *Unbestimmtheitsstellen* to indicate, above all, the distinction between literary objects and real ones. Hence the *Unbestimmtheitsstellen* reveal what the subject of literature or the literary object respectively lacks in comparison with the total definitiveness of real things. Accordingly, one of the main operations going on in a literary work is the constant removal of *Unbestimmtheitsstellen* in the act of composition, thus diminishing their occurrence as far as possible. Thereby the latent deficiency adhering to them can clearly be seen. Yet the gaps of indeterminacy are vital for eliciting the reader's response and are consequently an important factor for the effect exercised by the work of art.

In Iser's view, the reader initiates an interaction with the text. Iser does not concentrate on the gaps. He privileges the interaction, which he calls "dyadic" (Laing, 1961).

Instead of problems to be solved, Iser considers the spots as "stimulations". He explains that Ingarden would not accept a theory of interaction between readers and text because it would necessarily imply the acceptance of different interpretations. He writes (1978, 1987:178):

The fact that indeterminacies may bring about interaction between the schematized aspects is inconceivable for Ingarden, because interacting aspects could give rise to many different concretizations, and this would no longer fit in with the all-pervading norms of polyphonic harmony and classical aesthetics to which Ingarden's theory is so heavily committed ... [Ingarden] is unable to accept the possibility that a work may be concretized in different, equally valid ways.

Where Ingarden seeks a solution, Iser emphasizes only the drive for this completion, and the process of activation, not the result (for further comparison between the two, see Brinker, 1980).

To Iser, Ingarden's completions are static whereas the completion he postulates is dynamic. It may not even be concretized. It remains "an indeterminate background which transforms what is perceived into a tension, if not into an actual sign" (Iser, 1978, 1987:178).

Reading is being able to build connections between "chunks" of text. These connections are partly present in each "chunk" as each moment in reading the individuals are able to project their thoughts into future events in the text and thus confirm or revise their previous statements. Ingarden had shown that when a connection was not perceived, the flow of thought was checked before reading could proceed, thus representing an obstacle to the natural flow. Diverging from him, Iser states that this **hiatus** is not negative. It is precisely what is relevant in the aesthetic object. The text constantly interrupts expected connections, forcing readers to readjust and reevaluate what they read, thus leading them to the construction of the artistic object³⁹.

Studies on spoken and written discourse have also revealed the same tendency towards this interactionist model (McCarthy, 1991; Sinclair, 1985b; 1991a; 1991b), where the reader negotiates the meaning with the text. In his work on lexical repetition, Hoey (1991) demonstrates how a reader does not store one isolated word but **words in context**. This fact, he claims, explains how a child learns vocabulary without resorting to a dictionary. Language is acquired from the recognition of words in use.

This assumption is central to our understanding of what happens when we read. The repetition of a word such as **gaze** in *Dubliners*⁴⁰ or in *A Portrait of the Artist as a Young Man*⁴¹, the repetition of **round arm** in *Ulysses*⁴² as a metonymic representation of Molly Bloom, or words like **hinges** and **roses** in *Mrs. Dalloway*⁴³, provoke in the reader a recollection of the previous context in which this word has been used. The recollection itself, however, affects the context recalled, which is then evaluated in terms of the new situation. The blank is thus filled with the result of this evaluation.

As suggested, during the reading process past contexts are also recalled but their present realization is a synthesis of what has been experienced before⁴⁴. Thus, not only are they synthesized but now they also acquire new connections with the present.

This "retroactive link-up" is individual. The recollection depends on interest, attention, and mental capacity, which vary from reader to reader. This phenomenon of past-into-present also accounts for the many different textual interpretations.

Literary awareness benefits from the notion that past experiences or recognition of what is familiar merges with the new experience in a creative interaction. To reinforce his claims, Iser (1978,1987:32) quotes Dewey (1934,1958:60):

The junction of the new and old is not a mere composition of forces, but a re-creation in which the present impulsion gets form and solidity while the old, the "stored" material is literally revived, given new light and soul through having to meet a new situation.

The presentation of Iser's ideas as regards the spots of indeterminacy helps justify our claim for an interactionist approach. It also helps explain how new interpretations are continually possible, that is, the open structure of the text is characterized by indeterminacy (for constraints to interpretation, see Chapter 5.1).

We hold that the reader is not more or less important than the text. Both of them are necessary in the process of making sense. The general consensus of responses to a text demonstrates the control which the text has over responses. Nevertheless, the reader is ultimately responsible for establishing the interpretative route⁴⁵.

In short, phenomenology provides a richer theoretical background for a definition of LitAw and justifies why each reading will always yield a unique experience.

2.6.3 . The Influence of Firthian Linguistics

LitAw presupposes an informed interpretation of a text. This interpretation, however, is neither aleatory nor arbitrary. Many constraints keep it within certain limits. The borders may be flexible and allow variation, but the overall orientation leads the interpreter to a statement that can be accepted by other readers. Where does consensual meaning come from? On what grounds can we claim that our interpretation is valid? This section investigates the contribution of Firthian linguistics to a definition of LitAw.

J.R. Firth (1890-1960) was not much influential at his time for at least two reasons. Firstly, he never published a seminal book, despite holding the first Chair of General Linguistics in Britain in 1944 at the School of Oriental and African Studies at the University of London. Most of his works are to be found in articles collected under two titles.

Secondly, many of his younger colleagues abandoned Firth's ideas in the fifties to follow the new innatist rationalism of transformational grammar⁴⁶ (for example, see Thorne in Chapter 4.3.3.5). According to Palmer, they "had no interest in his theories or in his objections to theirs and largely shook their heads with an unspoken 'poor old Firth, he doesn't understand'" (cf. the introduction to *Selected Papers of J.R. Firth*, 1968:2).

Firth diverged from his structuralist contemporaries in his stress on the centrality of meaning in linguistic studies and the need to refer to language in use for confirmation of one's theory (cf. de Beaugrande, 1991 for a survey of Firth's theory). Firth (1968b:43) writes:

For me, a *fact* must be technically stated and find a place in a system of related statements, all of them arising from a theory and found application in renewal of connection in experience.⁴⁷

Differing from the structuralist theories current in his time, Firth emphasized the need of constant reference to natural language instead of contrived examples.

Firth also objected to Saussure's dualistic theory. Saussure's system was based on the distinction between *langue* and *parole* and the dichotomy *signifiant/signifié* (Firth,1958b:121). Items were seen in isolation and set in opposition. Therefore, they were mutually exclusive.

Firth rejects the monosystemic concept implied in Meillet's *Chaque langue forme un système où tout se tient*, which he calls "static structural formalism". Instead, he proposes a polysystemic structure (Firth, 1958b:121), each component representing a mode or level, "rather like the dispersion of light of mixed wave-lengths into a spectrum" (Firth,1958a:192). These levels, hierarchically distributed, consist of the following:

- **context of situation**, not the actual physical environment but an abstraction from the concrete physical situation. This means that it is a cultural environment, where we abstract only those elements we consider relevant.
- lexical level, where words are set in a syntagmatic relation to each other (**collocation**)
- syntactic level in a syntagmatic relation (**colligation**).
- phonological level, where speech sounds are seen in sequence and not in isolation, relating to each other in **prosody**.

Firth's interest in the social aspects of language led him to combine Malinowski's cultural and situational context into what he called **context of situation**, that is, language in the social context. The lexical level answers for the way one word functions in the context of other lexical items. Further down the scale, the syntactic level accounts for how the function of categories (verbs, nouns, etc.) provide grammatical meaning in the context of

other categories. Lastly, phonetic realizations derive meaning from functioning in their own in context.

Each of these levels is a system in its own right, making up one integral experience, or the weaving of one single fabric. The analogy Firth uses is with parts of the body. Language events are regarded as "whole and as repetitive and interconnected" (Firth, 1968a:176). Hence, the levels are not mutually exclusive but stand in a paradigmatic relation, creating a situation of "mutual expectancy" (Firth, 1958a:195). This notion has deep implications in stylistics, where the choice of one word will affect the choice of others, that is, that "words do not occur at random in a text" (Sinclair 1991c:110).

In terms of stylistic analysis, Firth dismisses biography or history (that is, context of culture) as primary elements. He criticizes scholars whose pieces of literary analysis are subjective, impressionistic, and more rhetorical than the work under scrutiny⁴⁸. To demonstrate his point, Firth analyses Swinburne's language to show that some of the poet's typical collocations constitute what he calls "Swinburnese" (Firth, 1958a). When analysing some nineteenth century letters, Firth also proves that a text may become dated not because it is distanced from the reader in time but because, like Dr. Johnson's language, they are a manifestation of the writer's idiosyncratic collocations. Firth claims that the language in many of Dr. Johnson's contemporaries' letters is still modern (Firth, 1958a).

In short, meaning for Firth is created not only from the association of the sound with the graphic form but also with the context of situation constituted by the co-existence of the relation between words. He reports (1958a:193) on an experiment with speakers of different languages to whom he presented a drawing of

two shapes in line, one of a round bellying shape, "clumpy", and the other a sharp angular zigzag of points prickling in all directions. Two words were then offered in sound and in roughly phonetic spelling as their names, viz. *kikeriki* and *oombooloo*. The only cases when *kikeriki* was chosen as a suitable name for the clumpy figure occurred when someone wished to enliven the proceedings and provide amusement, which he invariably did.

This experiment is very revealing of statements about Symbolist poetry. Firth would not agree with the postulations of Bally (see Chapter 4.1.1) that sounds carry meaning. Instead, he attributes this phenomenon to frequency of use. He creates the word **phonaesthetic** to describe how sounds and personal and social attitudes are associated. He writes (1958a:194):

If we apply the test of frequent use, most native English words with initial *sl* seem to have been associated with pejorative contexts. There is, therefore, an association of social and personal attitude in recurrent contexts of situation with certain phonological features.

To Firth, the meaning of words lies in their use (1930,1966:110; cf. also Wittgenstein, 1958 and our Chapter 3.2.3). Preceding the development of pragmatic studies, Firth (1930, 1966:173) writes about language functions and points out that

By regarding words as acts, events, habits, we limit our inquiry to what is objective and observable in the group life of our fellows.⁴⁹

Firth's contribution to the development of a theory for LitAw goes beyond language description. Much before contemporary reader-response postulations, Firth speaks of a stimulus-response model (see Chapters 2.4). In his words (1930, 1966:180-1),

All characteristically human habits involve learning. And learning by experience, acquiring useful habits, means an

individual power of adjustment involving experimental attunement, retention and recognition, and thereafter an adaptability in habitual response.

Due to the fact that Firth's description is not very clear, we set up the following diagram as a strategy to simplify his modes of meaning and set the levels into discrete sections. We are aware that Firth would not agree with a cut into planes. He preferred the spectrum metaphor. However, our main objective here is to suggest an answer to the question posed in the beginning of this section.

Here is the diagram:

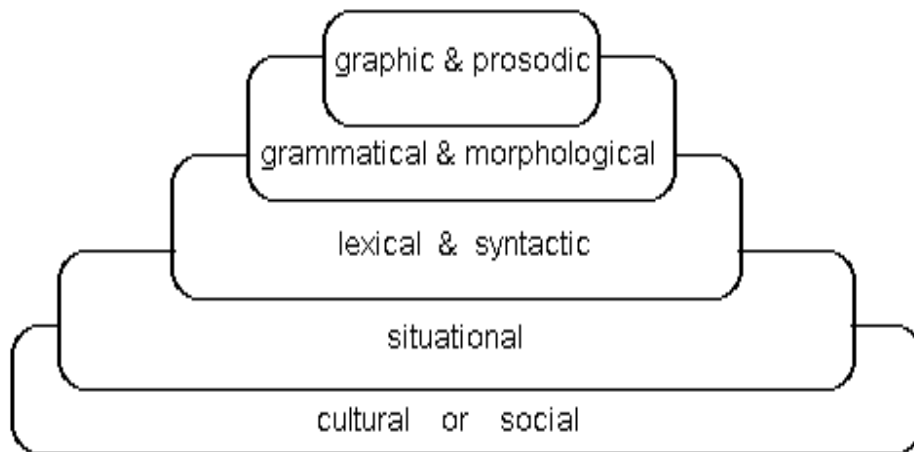


Diagram 2.2. Planes of Meaning

The widest plane consists of the cultural context, or the sociocultural background, ruled by ideologies, or what is also known as "the world outside the text". It extends meaning beyond the text.

The situational plane comprehends meaning above sentence level. It may be called "the world of the text". This plane allows us to study one text in isolation, that is, carry out an intratextual analysis, or compare many texts, that is, work on the intertextual level.

On the lexical and syntactic plane, Firth places **collocation**, or "actual words in habitual company" (Firth, 1968a:182; cf. also 1958a:194-6)⁵⁰, and **colligations**, or the syntagmatic relation between words. The **mutual expectancy** generated by collocation and colligation (see Chapter 3.2.2) can be relevant to stylistic studies. Sinclair (1991b:170) remarks that they "can be dramatic and interesting because unexpected".

The grammatical and morphological plane consists of word formation, including prefixes, suffixes, etc. The graphic and prosodic plane includes phonology and phonetics. On the graphic level, marks printed on a page, strings of letters, and blank spaces stand in a syntagmatic relation to each other and are read as symbols. This plane is particularly relevant in the study of concrete poetry (see Chapter 6.2.5; see also Cook, 1992 and van Peer, 1993).

The connection between these planes explains how meaning, then, "is to be regarded as a complex of contextual relations" (Firth, 1958d:19).

An answer to the opening question can now be forwarded. We have shown Firth's influence in identifying a text as a hierarchy of levels. We have also pointed out how his polysystemic description diverged from Saussurean postulations. Hence, based on Firth, we can claim that any statement about the meaning of a text must be made in terms of levels of analysis⁵¹. The total meaning lies in its "dispersion into modes", to which Firth (1968a:174) adds:

a statement of meaning of an isolate of any of these [levels] cannot be achieved at one fell swoop by one analysis at one level.

In other words, any statement of meaning, that can travel consistently and coherently through the five textual planes described above can be considered a valid interpretation.

2.7. Principles of Literary Awareness

"What is a Caucus-race?, said Alice...
"Why", said the Dodo", the best way to
explain it is to do it".

L. Carroll⁵²

We began this chapter with the intention of defining LitAw. To this purpose we set the term in relation to various other terms and areas of knowledge. In this closing section, we want to look at the five principles which guide the way LitAw works. They are: **exposure**, **cross-linking**, **reference build-up**, **adjustment**, and **productivity**. In discriminating these principles, we follow Enkvist's suggestion that we should "try to develop a process aesthetics to supplement our traditional product aesthetics" (in Sell, 1991:25).

2.7.1. Exposure

Like a game, reading cannot be explained in the abstract. It is fruitless to set out rules and then expect people to become literate. Reading can only be learnt when it is played (Wittgenstein, 1958). Hence, we can say that the more reading one does and the more practice one gets, the more proficient this person will become (for exposure to repeated collocation, cf. Baker, 1992).

Exposure is this direct contact of reader with text. As a consequence, the reader increases the possibility of being sensitized to literature. We assume that awareness cannot take place if the reader does not experience the text.

Exposure is variable. Its nature depends on at least four concurrent factors: setting, duration, intensity, and type of reading.

a. **Setting** is the situation the person is in when the act of reading takes place -- at home, on the bus, in a classroom, in a quiet/noisy/dark/light place, with or without pressure, etc. This situation will affect the form of exposure and, consequently, the response to the text.

b. **Duration** accounts for the length of time of exposure. Given more time, a reader is able to make more connections and find more patterns to justify his/her reading. Response varies whether the reader sees a text once, three times, for some days, etc. Teachers can tell the difference between allowing the students a ten or a sixty minutes' reading time in a test (for the effect of reading literature in an educational setting, see Andringa, 1991). This is exposure of a short-term range.

Long-term range exposure implies wider variety of experience, that is, contact with different texts over an extended period of time. In theory, an undergraduate will not be able to read like a professional basically because the teacher has had more contact hours with many different texts (see Willis, 1991 for exposure in relation to language learning).

c. **Intensity** can be translated as the depth of reading (Grellet 1981,1990: 4; Gower & Pearson, 1986; Hoey, 1991). The reader may:

- skim, or quickly run the eyes over a text to get the gist of it.
- scan, or quickly go through a text to find a particular piece of information.
- read extensively, without worrying about details. This involves longer texts.
- read intensively, that is, reading for detail to extract specific information. Shorter texts are implied.

Intensity reveals the amount of energy the reader puts into the act of reading. This amount will affect the explicitness of his/her analysis.

d. **Type**, or manner, reveals whether the reading is done silently, in a group, individually, etc. For instance, the students' reaction to a poem may change if the teacher reads it aloud. In this case, they may be responding to more factors than only to their reading of the words on the page.

2.7.2. Cross-linking

Cross-linking means relating parts of a text under the influence of mental sets into meaningful chunks. It generates the nexus the individual makes of the text. Cross-linking is essential to the reading experience. It accounts for the reader's potential of reading with "the eye of the mind" (cf. Chapter 2.2). It provides the series of connections and links within a text. Cross-linking defines the area whereupon the gaps in the chunk of text will be filled (see Chapter 2.6.2) in the process of shaping patterns in the reader's mind. Cross-linking is processed backwards and forwards. For instance, a textual clue is only recognized as such after being confirmed by subsequent events. This principle is served by three elements: **projection, inference, and intentionality.**

a. **Projection** results from the reader's anticipation. Reading is partly a case of confirming predictions (Wilding, 1982:271, Sinclair, 1991a). The danger in projecting is that, instead of prospecting ahead by means of linguistic cues (Sinclair, 1991d), the reader may allow the imagination to take over. Grellet (1981,1990:7), for instance, claims that "Reading is a constant process of guessing, and what one brings to the text is often more important than what one finds in it".

In terms of literary criticism, this factor may cause the subjectivism (see Chapter 4.4.2) of an interpretation, when the critic adapts the text to what s/he expects to find and not to what the language indicates. F.R. Leavis provides many examples. Here is Leavis at his best, projecting, making assumptions, using hedges, evaluating the reader according to his own reading, and not offering one single reference to the language of the text (in Rylance,1987,1990:19):

The Wanderer as described here would seem to be very much what the intelligent reader imagined above might have expected Wordsworth to become. Indeed, the description is, fairly obviously, very much in the nature of an idealised self-portrait. If Wordsworth, even when well embarked on *The Excursion*, was not quite this, this clearly is what he would have liked to be. That he should have wished to be this is significant. That he should have needed to wish it is the great difference between himself and the Wanderer...

If properly used, projection can be very helpful for discriminating between what one expects to find and what one actually finds in the text (see Unit 5 in Appendix I). Exercises on anticipation show the relevance of this element by creating expectations in the reader and then discussing their confirmation or frustration. Awareness can thus be practiced.

b. **Inference** helps the reader to arrive at a general picture from clues in a text. Grellet (1981,1990:14) defines:

Inferring means making use of syntactic, logical and cultural clues to discover the meaning of unknown elements.

Sometimes, it may not work. Habit, tradition or powerful projections (see above) may condition the representation. When Don Quijote⁵³ takes the windmills for enemies, he is projecting. He overlooks Sancho's inferential clues. In *Othello*⁵⁴, both inference and projection are present. Jealousy causes Othello's misinterpretation. He projects a picture already anticipated. Relying on this framework, Iago feeds the Moor with inferential clues so that Othello can confirm the picture he had already projected.

c. **Intentionality** assumes that writing has a purpose. The concept of reading as an act in which the reader constructs meaning is based on the idea that in doing so the reader ascribes an intention to the text/author. This assumption is present in questions like "what does this text mean?" or "what does the author want to say?"

It is questionable whether we recover what the author intended. The text may encode the intention of the writer but we only recover what we **think** the author intended. We like to see the text as saying something to us. Hence, we assume that what we see is what has been intended by the author.

Searle (1980:480-1) understands intentionality as central to philosophy of language. He writes:

...the central problem of the philosophy of language is to explain how the physical can become intentional, how the mind can impose intentionality on objects that are not intentional to start with, how, in short, mere things can represent.

Even the most recent cognitive models have not been able to cope with the notion of intentionality (Graessner & Franklin, 1990). Iser diverts the issue by arguing for the intended effect rather than the intended meaning. He writes (1975:7-8):

... if the reader and the literary text are partners in a process of communication, and if what is communicated is to be of any value, our prime concern will no longer be the meaning of a text (the hobbyhorse ridden by the critics of yore) but its effect. Herein lies the justification for approaching literature from a functionalist standpoint.

In sum, readers will build their representation based on what they think the author intended. We prefer to understand intention as an abstract notion conceived by the reader as a result of his/her evaluation of the author's linguistic and generic choices.

2.7.3. Reference Build-up

The more connections the reader can make, the more complex will his/her understanding of the text be. Reference build-up explains why "frames", "schemata", or "repertoires" (see Chapters 2.2 and 2.6.1) are relevant to LitAw.

Building up reference does not mean collecting isolated data. Chase & Simon (1973) demonstrated that the brain stores not isolated definitions but sets of relations. Once a student builds a backbone network of reference, new relations can be more easily absorbed. Moreover, this network will serve as a springboard into experimentation.

Gombrich (1959,1986) demonstrates that this basis or the familiar element is the necessary starting point for the representation of the unknown. He illustrates how artists cope with totally new experiences by relating them to what they already know. For instance, a German reported a calamity that occurred in Italy in 1556 by drawing grasshoppers as if they were horses. Dürer reproduced a rhinoceros as if it were a dragon:

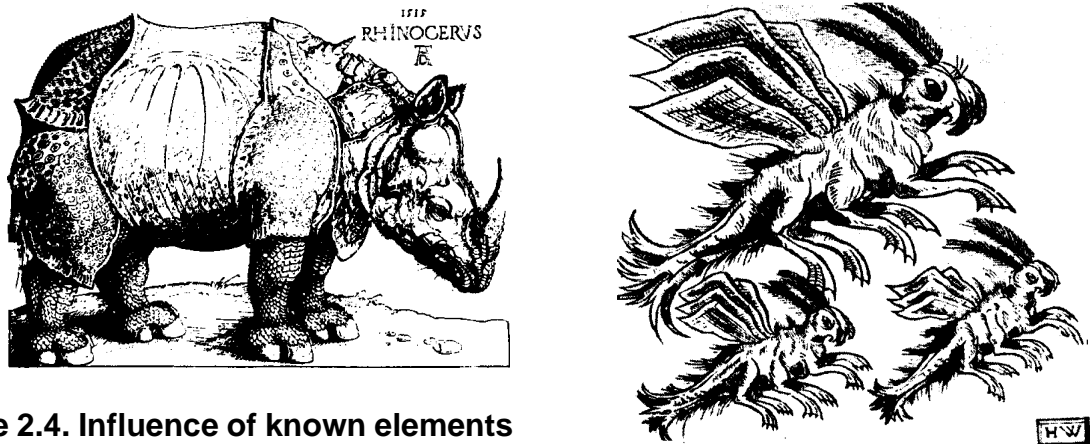


Figure 2.4. Influence of known elements

In the poem "A Martian sends a postcard home", Craig Raine illustrates everyday items and events from an alien's point of view (see Carter & Long, 1987, and Unit 7 in Appendix I for an exploitation of this aspect). This is a description of a telephone:

**...In homes, a haunted apparatus sleeps,
that snores when you pick it up**

Like cross-linking, reference build-up depends on integration and sequentiality and varies according to difference in background. It has an essentially evolutionary nature.

a. **Difference in background.** LitAw must account for the fact that repertoires are unique. Not only do people undergo different experiences but they also absorb them in a different way. This means readers will come up with different connections. Moreover, the speed in which connections are made will also vary (see Chapter 2.6.1). As a consequence, the same text will be perceived in more than one way. Drawing on the chess analogy, de Beaugrande (1988:3) explains the difference in repertoire as an instance of

the ability of chess masters to see things on the board that novices cannot or only through much time and effort. According to De Groot (1966:47), such cases show that "increasing experience and knowledge in a specific field" has the effect that things (properties, etc.) which, at earlier stages had to be abstracted or even inferred, are apt to be immediately perceived at later stages.

Hence, LitAw will have to cope with variety and multiplicity.

b. **Integration and Sequentiality.** From the perspective of Western epistemology, knowledge is organized on a temporal-causal basis (cf. Becker 1979:217). Therefore, the reader's body of knowledge is not built arbitrarily. Connections are made according to a certain sequence. In order to arrive at an overall picture, the reader arranges his/her references in sequences of cause and effect. This organization will reflect in the interpretation. Hence, readers build a justification for their reading based on the idea of continuity. Durant & Fabb (1990) use this notion for the pedagogical purpose of teaching students how to ask *wh*-questions of the text.

The need to build a literary repertoire which is progressive and sequential is justified in the reader's response to new texts. The repertoire provides a stepping block for future experience and answers for the pertinence of an interpretation. Enkvist (in Sell, 1991:16) writes:

The purpose of literary education is obviously to stimulate people to build up systems for the evaluation of the new texts, that is, organized sets of texts and responses whose elements will, we hope, compare and contrast with those of the new texts they will face.

2.7.4. Adjustment

It seems to be part of human nature that we are always looking for a repeat of a phenomenon, that is, we expect what we already know. If the readers' repertoire, or schema, differs from what they see in the text, they will search for different connections, thus modifying and adjusting their former references. Glasersfeld (1983:212) points out that

learning was neither intuitive nor instantaneous -- it required a certain number of trials, errors, and the gradual isolation of "viable" ways of responding.

Adjustment then depends on **matching** what is expected of the text to a body of knowledge and **assimilating the new**. Depending on their repertoire, readers can reject, accept, or revise the information they get from the text. Rejection occurs when connections cannot be made. For instance, a student unfamiliar with Japanese cannot respond to a haiku in that language. A nine-year old English student may reject a Shakespeare text in the original (for an example of the difficulty Westerners have in responding to Javanese Shadow Theatre, which is not based on temporal-causal sequences, cf. Becker 1979:217).

Much of the fascination of a literary text depends on the newness of the experience. Gombrich (1986) remarks that whenever we are before a representation which is alien to our former experience, we tend to undergo a brief and momentary shock followed by a period of adaptation to the experience. In order to adapt we try to recognize identities through variation by disregarding conditions which have been altered, thus preserving the frame of a stable work. For instance, we can recognize a person as the same even if the colour of the hair has changed or the shape of the body may have altered. Likewise, we can recognize a repeated structure even though it may serve different functions. For instance, a reader may notice that the same pattern was used to provoke a comic effect in a text and a solemn response in another.

In sum, perception is relative and one automatically evaluates a new item in relation to past experience. When reading a text, one is constantly revising one's framework of reference, thus making it more complex and flexible.

An experienced reader will be in a position to pick out smaller details and to be responsive to greater subtleties. This reader will be able to create what Bruner (1990) calls "link between the exceptional and the ordinary", that is, finding a reason that makes the unusual comprehensible, mitigating the departure from a canonical cultural pattern.

2.7.5. Productivity

Very few, if any, literary courses allow students to choose and play with stylistic patterns to achieve an effect they want to create. A significant way into LitAw is to encourage personal expression and the use of imagination. The objective is not the production of relevant literary pieces but the development of the ability to choose and be explicit about the choices. By playing with the patterns we follow the rule of making in order to master.

Participation in the making of verbal art can be carried out in literary or in LitAw workshops. In the former, the student has internalized a system and can reproduce a model, but normally does not or cannot explain how the work was produced. In the latter, students choose, describe, identify, and discuss stylistic patterns in action. In sum, the active mastery of stylistic patterns can only be obtained from a person's verbal actions (Hasan, 1985; Mallett, 1988).

2.8. A Final Word

The newness of the literary experience benefits from the infinite potential language has for pattern creation. As a result, there can be no preformulated answers as to how a reader responds to a text.

In this chapter we have judged LitAw with regard to other terms and areas of knowledge. We have claimed that its role is to provide subsidies so that the reader may describe and organize the knowledge derived from the reading experience. We may now define LitAw as the process in which the reader awakens to and takes cognizance of the verbal artistry of a literary text. The next chapter will concentrate on the literary text.

CHAPTER 3

THE LITERARY TEXT

3.1. What is a Literary Text?

.. a work that aspires, however humbly, to the condition of art should carry its justification in every line.

J. Conrad⁵⁵

In this section we will define the nature, characteristics, and social function of the literary text⁵⁶. To this end we shall present some previous attempts at definitions so that our own may be regarded as part of an evolutionary process.

Before we proceed we should point out the terms and conditions of the investigation. Much debate has taken place over the question of the scientific status of literature, by which is meant the experimental testing of hypotheses resulting in solutions to resolvable problems. In the case of literature, both in relation to its production and its study, we are dealing with open-ended problems. For instance, stylistics, here considered the linguistic study of literary texts, seeks to apply rigorous techniques but does not look for final answers. Hence, we may follow a scientific method of analysis without the intention of reaching a scientific solution.

In its simplest terms, a literary text is a collection of linguistic signs within a cultural context. Such a text operates in several dimensions: the existential, the conjectural or speculative, also known as the reflexive, and the functional.

The literary text is existential in the sense of describing and dealing with life experiences through language. This existential status is responsible for the content of the text, or what it deals with. It reveals an author's perspective upon a certain experience, or the mapping out of an individual's perception of the world. Likewise, the reader creates an experience in the act of reading.

The second dimension, or the conjectural aspect, considers the modes of communication of the text itself. It takes into account the making of the text and the questions

raised about its constituent material, that is, language itself. Pointing out the self-reflective nature of the literary text, Culler (1981:35-6) concludes:

Finally, unlike so many other systems which are devoted to ends external to themselves and their own processes, literature is itself a continual exploration of and reflection upon signification in all its forms: an interpretation of experience; a commentary on the validity of various ways of interpreting experience; an exploration of the creative, revelatory, and deceptive powers of language; a critique of the codes and interpretive processes manifested in our languages and in previous literature. In so far as literature turns back on itself and examines, parodies, or treats ironically its own signifying procedures, it becomes the most complex account of signification we possess.

In a word, literary texts provide a critical language in which to view our systems of thought. They are the metalanguage of culture.

Thirdly, the literary text functions in society. Every culture produces its own texts. They are handed down from generation to generation following sets of rules and conventions established by communities. The function of the text is both communal and individual. By transmitting communal beliefs, the text keeps the group's unity but, at the same time, it deals with individuals and their emotions. Rosenblatt (1938,1983:182) notes that the literary work does not relate to humans only in an intellectual way. She writes:

The whole personality tends to become involved in the literary experience. That a literary work may bring into play and be related to profoundly personal needs and preoccupations makes it a powerful potential educational force. For it is out of these basic needs and attitudes that behavior springs. Hence, literature can foster the linkage between intellectual perception and emotional drive that is essential to any vital learning process.

In other words, the transmission of the literary text provides for the individual's personal growth and his/her social sensitivity.

Transmission implies a didactic function which may be implicit or explicit. Kamlah & Lorenzen (in Lefèvere, 1977:9) note the explicit function of the text. They argue that literature provides "an answer to the questions of how we can live and how we should live. In this sense, literary texts can be both a re-statement of traditional beliefs or an offer of alternative values". Riffaterre (1990:928) emphasizes the exemplary nature of literary texts, "without which no literature is literary".

Besides the social utility of transmitting symbols, myths, and conventions of and to a group, the literary text exploits the verbal magic present in any society that communicates by means of sounds and words. It has a ludic function. It manifests the pleasure derived from the language game -- the playing with sounds, rhythm, meaning. This playful aspect of the literary text also promotes mystery and the game of make-believe, which, for instance, Western fiction depends so heavily on, that is, the possibility of a second reality different from the one actually being experienced⁵⁷.

To summarize, a literary text is a product of the individual as an epistemic being (*homo sapiens*), a social being (*homo congregabilis*), and a ludic being (*homo ludens*)⁵⁸.

So far we have discussed the dimensions of a literary text. We shall now refer to its constituent characteristics. It is important to note that at this point we are only clearing the ground to examine a specific object. Similarly to the surgeon who, during the act of operating, shifts his/her focus of attention to the parts of the organ under inspection to

examine its structure, without considering the patient as a social being, we must separate the text from the reader as a procedural strategy. We do not assume that the text has an independent existence. Nor does the surgeon disregard the other factors. Many decades ago Dewey (1934,1958:3) had already given consideration to the dangers of isolating the work from its context. He wrote:

In common conception, the work of art is often identified with the building, book, painting, or statue in its existence apart from human experience. Since the actual work is what the product does with and in experience, the result is not favorable to understanding.

The heart does not beat on its own. We believe that the literary text only comes to life during the act of interaction between the reader and the text. The reason we should investigate the constituent components of the text is that once we know what they are, we can discuss and communicate them.

A literary text (even under apparently arbitrary conditions) is a structured, carefully built, coherently organized, highly selective and edited object. The degrees of editing may vary but any text still depends on selection and organization. If, on the one hand, it follows specific conventions, then, on the other, it is free enough to create its own norms.

Language is the material literary texts are made of. That material is organized into devices, patterns, and structures. For the purposes of this discussion, devices mean the verbal expressions which make the text. They include, among others:

- **figures of speech** or **rhetorical devices** (metaphors, paradoxes, antitheses, pleonasm, etc).
- **accepted conventions**, that is, **generic devices** (those of a sonnet, such as specific rhyme schemes; those of a play, such as the unities or divisions into acts; those of a novel, such as division into chapters, time sequence, etc).
- **collocation**, that is, how a certain word is positioned within the text, or, in Firth's words, what "company it keeps" (see Chapter 2.6.3).

Devices are combined in various patterns such as repetitions (see Chapter 6.2.4). These patterns further combine into characteristic stylistic structures of parallels, symmetries, analogies, correspondences, or contrasts.

If the assumption that literary texts work (at least substantially) by these discoverable rules is correct, it will then be possible to recover them for pedagogical purposes.

In Chapter 4.3 we shall review some of the main critical approaches that regard the text as a self-contained linguistic artefact. This discussion is essential for an understanding of our assumptions in relation to the mainstream of critical thought.

Merquior (1974) summarizes about one hundred years of the most significant approaches to the literary text as a self-contained object, or "l'oeuvre en soi", as Flaubert called it:

- The Russian and Czech Formalists (V. Shklosky, R. Jakobson, B. Tomachevsky, J. Mukarovsky, R. Wellek).
- The essayism of P. Valéry, E. Pound, and T.S.Eliot; W. Benjamin and G. Lukács before his Marxist period.
- The stylistics of L. Spitzer, E.R. Curtius, E. Auerbach, H. Hatzfeld, and W. Kayser.
- The literary semantics of I.A. Richards and W. Empson.
- The American New Criticism of C. Brooks, R.P. Warren, W.K. Wimsatt.
- The Neo-Aristotelian School of Chicago (R. Crane and E. Olson).
- The existential hermeneutics of G. Bachelard, A. Beguin, G. Poulet, and G. Hartman.

At present, it is hard to sustain this argument that the text is self-contained but it would be beyond the scope of this thesis to update this list and to investigate each of the approaches that deal with the text as an independent whole. Therefore, we shall focus on the Formalists from the tens to the thirties, as precursors, and on Eliot and the New Critics of the 1940s and 1950s for presenting contrasting views of the function and properties of literary language⁵⁹. In Chapter 3.2 we shall present our own view of the properties of a literary text.

A final word must be said before we proceed into the following sections. We believe new theories grow from previous postulations. The reason we go back in history is not to prove others false but rather to pay them a tribute. We consider our contribution part of an evolutionary continuum.

3.1.1. The Literary Text and Cultural Value

In the days of Dr. Johnson, literary theory was considered the expression of general statements about life and required no special knowledge of the critic (cf. Selden, 1985;1988). The twentieth century presents a more complex picture. Many different trends attempt to explain, among other issues, the nature of the literary object. In order to understand why a specific interpretation is preferred and a specific methodology chosen, a literature teacher should be aware of some of the influential approaches that have shaped contemporary thought, by either following, opposing, or blending them. A word of caution, however, is raised by Eliot (1932,1969:25), who reminds us that

...criticism... is no better than a Sunday park of contending orators, who have not even arrived at the articulation of their differences.⁶⁰

In this section we shall examine why some of the theoretical postulations which privilege the text are not adequate as support for a LitAw course. We refer specifically to the Anglo-American Formalist tradition which regards the text as a self-contained and autonomous object and places the responsibility of interpretation on the critic's shoulder⁶¹.

A recent publication (Rylance, 1987,1990) has collected essays by T.S. Eliot, F.R. Leavis, and Q.D. Leavis under the significant title of "The Force of Tradition"⁶². The ambiguity one can read in this title produces both positive and negative connotations. If, on the one hand, tradition can be a source of inspiration, an element for establishing parameters believed to be lacking, on the other, it can also be a limiting factor. What holds the critics discussed in this section together is their confidence that some literary works are considered models because they set the standards and the morals of the dominant societies of the past and can be used as examples for giving orientation to the chaotic context they saw themselves in. In this sense, these texts are considered sacred⁶³. Widdowson (1992:179) criticizes this position when he writes: "Is then nothing sacred? No. For when a poem becomes sacred, it shrivels to a relic".

New Critics postulate the organic whole of a literary text and value the work's content⁶⁴. They work against the fragmentation which characterized much of the literature of the early decades of the twentieth century, expressed, for instance, in the linguistic experiments of Eliot himself, of V. Woolf, and of J. Joyce.

Although Eliot and the Leavises had conflicting ideas about what constituted a canon, they shared with the American New Critics⁶⁵ the assumption of an audience who would not question the validity of the word tradition⁶⁶. Eliot favoured the Classics (Virgil, Dante, Shakespeare, etc.) and fundamented his theory on religious beliefs, whereas Leavis offered an alternative canon based on a more prosaic tradition of contemporary British authors such as D.H. Lawrence. Leavis tried to replace one canon for another, whereas to Eliot the notion of a canon was relative. Eliot believed that every new poem -- no matter how small its contribution -- would change the tradition. His notion of canon was flexible although his choice was aristocratic and monarchist.

Despite their differences, these critics agreed that some works were to be used as touchstones and would therefore provide a unified point of reference, a cultural bond, or, in Eliot's words, a historical sense which would translate a feeling that "the whole of the literature of Europe from Homer and within it the whole of the literature of his (the poet's) own country has a simultaneous order"⁶⁷.

Four issues can be raised here. This historical sense does not cover all readers. For instance, most EFLit students are excluded from this European club⁶⁸. Secondly, the imposition of a canon implies that some critics feel entitled to decide on what is to be considered literary. Thirdly, these critics tend to assert rather than demonstrate their analysis. Lastly, extensive knowledge and academic learning are still believed to be necessary elements

for the production of criticism. Therefore, postulations based on cultural tradition are problematic, especially in an EFLit context.

For the sake of brevity, we shall examine in detail only some of the statements of two representatives -- those of T.S.Eliot and of Cleanth Brooks -- as illustrations of their distance from our theoretical needs for a LitAw programme.

Eliot dissociates emotion from an intellectual attitude⁶⁹. He claims that emotion in the aesthetic experience does not help to categorize a work of art. To Eliot, writing is a purely intellectual phenomenon. He rejects the notion of emotional response as it is held here. This thesis argues that one of the characteristics of a literary text is the transmission of life experiences by means of the reader's affective reaction to the text.

Indeed, Eliot is not concerned with the reader. He focuses on the writer when he draws the distinction between "significant emotion", which is poetic, and actual emotion, or the uncontrolled manifestation of personal feelings. A poem is not "an expression of personality but an escape from personality".

Eliot attempts at an impersonality which he never achieves. The more he protests to be objective, the least he succeeds, which, in an ironic twist, serves as evidence for his belief in the fallibility of language. Eliot's prose undermines his theory. If Eliot values scientificity, objectivity, or distance from a text, his style reveals groundless assumptions and confusing, cryptic prose.

Eliot is highly rhetorical and axiomatic. For instance, in "criticism is as inevitable as breathing", or "the obvious fact that art never improves", he makes assumptions without any justifications.

Here is another example: "the historical sense involves a perception, not only of the pastness of the past, but of its presence". In this passage, the reader is lured by the logical cohesion of "not only ... but of". One word entices the other either by derivation ("pastness/past") or by analogy ("historical/past"; "sense/perception"), and thus a simulacrum of proposition is constructed. Eliot also relies on repetition of words ("intensity"; "emotion") and on paradox ("... sense of the timeless as well as the temporal and of the timeless and of the temporal together"). Here we have one paradoxical statement coordinated to a paraphrase of the first paradox. How can history be both timeless and temporal? Eliot does not explain. He develops an analogy with chemistry of the poet as "the shred of platinum" which, in this light, turns out to be forceful.

It becomes ironic that in the sentences Eliot creates to organize his essays, in his use of metalanguage, his style is revealed. For instance, in "To proceed to a more *intelligible* exposition...", or in "The point of view which I am *struggling to attack*...", or even in his playful "... in the light -- or *darkness* -- of these observations" (my italics), Eliot is aware of his own obscurity. In playing with his own prose, Eliot produces a polysemic rather than the monosemic argumentation most critics (excluding, for instance, Derrida and Barthes)⁷⁰ expect of a piece of criticism.

In his assumption of an educated native English speaking audience, in his belief that the text is independent of the reader, and in the subjective, non-scientific orientation of his criticism, Eliot distances himself from our theoretical needs⁷¹. Steiner (1968,1972:152) calls Eliot "the last major literary critic entirely lacking an interest in linguistics".

Like Eliot, Cleanth Brooks sees the text as an organic and independent whole⁷². He investigates the structure of a work of art but his justifications lie outside the text⁷³. In discussing Wordsworth's "Lucy" poems (in Rylance, op.cit.:41), he writes:

which is Lucy really like -- the violet or the star? The context in general seems to support the violet comparison. The violet, beautiful but almost unnoticed, already half hidden

from the eye, is now, as the poem ends, completely hidden in its grave, with none but the poet to grieve for its loss.

The question Brooks poses misses the point. One is not supposed to choose but to investigate the kind of effect the poem has on the reader. In attempting to justify the linguistic features which produce an effect, one may investigate, for instance, the relevance of the indefinite article (in "a violet", "a star") to support the description of Lucy's isolation and uniqueness.

Although Brooks suggests that words may have multiple meanings, he holds that each part of a poem contributes to a totality leading to one final interpretation. We prefer to see multiplicity of meaning not only at word level but as a characteristic of the literary discourse. In this sense, interpretations may vary and a range of possible interpretations is welcome in a course on LitAw.

Brooks also follows the conservative tradition which discriminates between high and low forms of literature. To him, the former has been established by convention whereas the "debased manifestations" are to be found in advertising, mass literature, and in pulp fiction. In this thesis, a work of art will be evaluated according to the predictability of its language and the function the reader attributes to it (see Chapter 3.2.2 and 3.2.3; see also Unit 1 in Appendix I).

Brooks also believes that language has deteriorated. According to him, it is the critic's duty to rehabilitate it so that "it can convey meanings once more with force and with exactitude". The notion of linguistic decadence or of better/worse forms of expression does not answer the needs of a course on LitAw. We prefer the notion of change.

From a pedagogical viewpoint, the Anglo-American tradition has promoted the situation in which the teacher is the model and the expert mediator between student and text. Students depend on the teacher's explanation of the text before they produce their own. Moreover, a LitAw programme will take into account that readers are not naive, as posed by Anglo-American critics. The reader's textual encounters are strewn with expectations and frustrations that will shape the way their understanding is processed.

New Critics also presuppose that the teacher's interpretation is the correct one to be followed. Dias & Hayhoe (1988:7) point out a reason. They write that

for many teachers, the act of transferring responsibility to their pupils for the meanings they make causes great moral unease and is seen as a thin disguise for abdicating responsibility for what their pupils learn.

The pedagogical orientation of the Pilot Project (cf. Chapter 7.1.4) will place much of the responsibility on the students' shoulders.

In sum, Anglo-American critics did investigate the structure of the poem, but they did not describe the "internal grammar" of a particular text nor did they investigate the interaction between reader, text, and writer (see Chapter 5.1). They devalued the role of the reader, holding that it was a primarily subjective response. However, as we have seen, the subjectivity of their practice undermines the scientific rigour they claim for their analysis⁷⁴.

3.1.2. The Literary Text and Deviation

In line with the purpose of this chapter, that is, the definition of a literary text, this section looks at some of the ideas expounded by the early Formalists which have influenced much of today's discussion about the language of a literary text. Although anterior to both Anglo-American New and Practical Criticism, we have opted for this order of

presentation for the following reasons: many of the earlier Formalists' postulations are still alive in present Structuralist developments, whereas the Anglo-Americans' concept of a literary text (Chapter 3.1.1) has become the orthodox theory many of the current investigations oppose.

In addition, Anglo-American critics remained essentially humanistic and disregarded systematization whereas the earlier Formalists offered models and hypotheses about literary language. This section points out how many of the modern arguments are rooted in research developed by the Russian and Czech Formalists⁷⁵.

In the sense that the Anglo-American critics saw the text as an autonomous and self-contained structure, they followed Formalist tradition. Selden (1985,1988:6) explains that both theoretical positions aimed to explore what was specifically literary in texts and both rejected "the limp spirituality of late Romantic poetics in favour of a detailed empirical approach to reading". However, the Russian and Czech Formalists' attempt to differentiate literary language from the modes of ordinary language was not continued by Anglo-American criticism.

Whereas Eliot, the Leavises, and Cleanth Brooks valued pre-established literary models and pointed thematically backwards to tradition, emphasizing the transmission of culture (cf. Chapter 3.1.1), the Russian and Czech theorists had taken a more revolutionary route. A work of art was to be innovative, offering new perspectives and challenging normal linguistic patterns. Formalist studies dealt with the making of the text, or how a particular work was linguistically structured, rather than with thematic propositions.

This practice reveals a preoccupation with scientificism, or in Eichenbaum's words (in Lemon & Reis, 1965:106), a need to free poetics from

its ties with their [the Symbolists] subjective philosophical and aesthetic theories, and to direct it towards the scientific investigation of facts.

Resorting to the paradigm of "exact" sciences the Formalists proposed categories with which they might organize the constituent elements of an artistic piece, from its most irreducible element to a network of relations⁷⁶.

Regarding literary analysis as an independent intellectual activity, the Russian Formalists concentrated on the **how** of the text and not on the **what**. According to Shklovsky, works of art are "words created by special techniques designed to make the works as obviously artistic as possible" (in Lemon & Reis,op.cit.:8).

The Russian Formalists introduced the notion of de-automatization or de-familiarization. That is, the objective of the literary text was to disorganize, to make strange, to make the reader perceive a new reality. In 1917, Shklovsky (in Rylance, 1987,1990) held that the function of literary language was to render one's perception of everyday situations so unfamiliar that a known event could be seen as new. Rule-breaking was regarded as a mark of literariness⁷⁷. In this sense, the Russian Formalists promoted the exotic, the work which conflicted with the conventional use of language. This is why later developments prized a poet like e.e. cummings. Hawkes (1977:63) comments that

Russian Formalism pre-dates the Brechtian concept of 'alienation' (*verfremdung*) whereby the object of art is seen to be the revolutionary goal of making the audience aware that the institutions and social formulae which they inherit are not eternal and 'natural' but historical and man-made, and so capable of change through human action.⁷⁸

The Formalists also introduced the notion of foregrounding⁷⁹ -- that something in the text was to stand out. The degree of markedness determined the literariness of the text (cf. Mukarovsky, 1932). Foregrounding could be established by means of statistical criteria,

where the more marked the text the more literary it was. Consequently the most normal occurrences were the most frequently used and the least literary.

Some studies follow this track (Riffaterre, 1959; Baker, 1992:130). Levin (1965) proposes quantitative deviation, that is, an investigation into the infrequency of occurrence, and a qualitative deviation, or the ungrammaticality of a certain feature.

Leech & Short (1981) distinguish between the terms foregrounding, prominence, and deviance. Deviance is a mere statistical recognition, prominence a psychological reaction from the reader, who notices what stands out, and foregrounding implies literary relevance⁸⁰. In this sense, all instances of foregrounding would imply deviance, but the opposite is not true. They write (idem: 51):

Deviance can be used to suggest and support hypotheses about style, but nothing can be adduced from, or proved by, statistics alone.

Instead of dealing with special literary topics or subject matter as held by literary theory so far, that is, that only certain themes were worth literary treatment, the Formalists proposed that a literary text presupposed a special use of language, which would determine the text's literariness⁸¹ (*literaturnost*) (cf. Easthope, 1991). As a consequence, metaphors, rhythm, rhyme, symbols, etc. lost their representational evocative value and were considered only in relation to their use in a certain text. Hawkes (1977, 1986:63-5) notes that

As a result, words in poetry have the status not simply of vehicles for thoughts, but of objects in their own right, autonomous concrete entities. In Saussure's terms, then, they cease to be "signifiers" and become "signifieds", and it is the poem's "alienating" devices of rhythm, rhyme, metre, etc. which enable this structural change to be achieved... In the end, the poem *is* its devices, it *is* its form.

In very broad terms, two main branches of criticism have developed from the Russian Formalists' postulation that the language of a literary text should be the object of systematic research -- the deviationist⁸² and the relational arguments.

The deviationist argument, or "style as difference" (Pearce, 1977:31), holds that a norm must be set up against which the text is to be investigated⁸³. A literary text then is a departure from this norm (Thorne, 1970; Ohmann, 1964; Widdowson, 1975; 1992, Short, 1983; 1989⁸⁴; Cluysenaar, 1976; Leech, 1969; 1985; Burton, 1980, among others). It does not matter whether this norm is set in relation to language as a whole or to a body of texts. The norm may also be established by other authors or written within the canon of a single author. Leech & Short (op. cit.:53) write:

However inchoate the norms may be, they collectively give us our bearings for responding to a style.

These critics set the text against an external standard so as to verify to what degree a specific use of language matches or diverges from that norm. Widdowson (1992:9) points out:

The essentials of poetry lie in the way language is used to elaborate on such simple propositions so that they are reformulated in *unfamiliar terms* which somehow capture the underlying mystery of the commonplace.⁸⁵

The second argument favours a definition of literary language from a relational viewpoint. Carter & Nash (1990:5) question the possibility of existence of an external norm from which the text could deviate. They also point out the difficulty of measuring foregrounding. They write (idem, ibidem):

There is little doubt that foregrounding occurs or that degrees of expectation do play a significant part in determining particular effects. But one major difficulty with the notion of foregrounding concerns the problems encountered in attempting to measure what *is* expected or normal -- thus *how* foregrounding actually takes place. A person doing stylistic analysis is hardly likely to have time enough to carry out statistical analysis for every deviation he or she perceives.

Opposing the deviationist argument, these critics do not accept that a literary text makes special use of language (cf. Carter & Burton, 1982; Pratt, 1977). Pearce (op.cit.:33) comments that here the norm-difference relation is inverted. He writes that these scholars regard

... linguistic features of a text not as a departure from a large scale, less delicately described norm, but as contributing to the achievement of a norm.

In this case, they would represent the other end of a cline -- from the features perceived to the establishment of a norm.

Sinclair (1966) notes that a passage may be stylistically relevant even if it does not present any rule-breaking or deviation. It could be presenting a case of "deflection" (see endnote 28) or "tertiary deviation" (Leech, 1985:49), that is, a slight variation from the specific norm established by the text itself (cf. Unit 8 in Appendix I for the stylistic effect of shift in tense).

This relational argument holds that structure depends on how patterns within a text combine and that the language used is not much different from that of everyday conversation. Verbal art consists of the exploration of linguistic possibilities. Starting from what is known, it allows itself a journey into the unknown. For example, Hasan (1985) affirms that verbal art only differs from natural language in the sense that it offers more concentration of patterns.

From the relational perspective, literary quality is established by a community which acknowledges a specific text as literary according to pre-established conventions. A structural-functional postulation, it is the use by a community which validates the text as literary (see Montgomery et alii, 1992; cf. also Chapter 8.4).

In Chapter 3.2.3 we shall see how a text, based on a set of conventions which may be specific to literature, that is, using literary devices, may not be considered a poem due to its function. We shall also see how a poem may lose its literary value when placed in a different context (cf. also Berger, 1972 and Cook, 1992 for the use of art and poetry in advertisement)⁸⁶.

In suggesting that literary language is not determined *a priori* but is established from patterns the reader perceives in the text during the process of reading, this thesis agrees in principle with the linguistic postulations of the relational argument. In addition, we also believe that only those patterns recognized by the reader as responsible for certain effects are stylistically significant. Although we follow the Formalists' orientation towards text-intrinsic linguistic features, the crucial determinant of literariness is the reader's perception and evaluation of stylistic patterns and his/her decision to read a text as literature.

3.2. The Literary Text from a LitAw Perspective

In reading a novel we are not simply mapping utterances onto an already understood world of attitudes and behaviour, or if we are then we are reading an indifferent novel. At its best a novel forces us to re-examine our normal forms of inference, to allow fresh connections in what becomes a new world.

C. MacCabe⁸⁷

Literariness is not considered here an attribute of the text, as assumed by the Russian Formalists (see Chapter 3.1.2), but the potential which the language of a text has, enabling the reader to determine its literary quality. This potential results from the coming together of several factors, including the writer's linguistic choices and the reader's expectations, repertoire and responses (cf. García-Berrio, 1989,1992:41). The text, the reader and the writer are necessary elements in any discussion of literary value (see Chapter 5.1)⁸⁸.

Our argument presupposes that literary language is language which has been patterned for specific affective purposes by the writer (see Carter & Long, 1991). However, the patterns, or formal units of the text, are only realized by the reader during the act of reading. Depending on the effect of the text on this reader and on the interpretive strategy chosen, the interpretation will vary. These strategies depend on the reader's particular social context.

At times, the writer's choices will offer some resistance to the reader's interpretive strategies. In this case, new interpretive strategies which have not been conventionalized by use will have to be originated. A work is innovative when it demands new interpretive strategies from the reader.

This chapter investigates what elements are involved when decisions about the literary quality of the language of a text must be taken.

3.2.1. The Question of Literariness

The discussion on literariness, that is, the literary dimension of the language of a text, is still very relevant today when the boundaries between genres tend to be crossed. If prizes are granted to the "book of the year" and pop novels are not considered as valuable (in terms of literature) as well-established masterpieces, one must concede that there are factors which distinguish literary from non-literary productions. In the next sections we shall consider two of these factors -- the function of the text and the predictability of its language.

Russian Formalism and the Prague School of Linguistics brought the discussion of literariness to the foreground by valuing newness in language, or its unpredictability (see Chapter 3.1.2; also, Riffaterre, 1959:158). From this perspective, Modernist writers like Eliot and Joyce offered new ways of looking at a phenomenon by means of a process of "defamiliarization".

Literature as deviation has been questioned by Postmodernist critics, who, on the contrary, value the normalization of alienation (Graff, 1979:60) through practices such as *bricolage*, that is, the borrowing of words, fragments or concepts from previous texts in a single work of art (Derrida, 1978:285) and *pastiche*, or a kind of parody (Hutcheon, 1988:26). They argue there is nothing new in the language of most postmodern novels. The question of what distinguishes literary language then remains unanswered.

Moving from literary theory into linguistics, and from the Russian Formalists to the Structuralists of the fifties, the individuality of the text gets less attention. Birch (1989:55) explains that linguists carried out textual analysis

not with the intention of saying anything about the text or its context as such, but as a means to understand the system of language (*langue*). Discourse has obviously little place in this practice.

To these Structuralists, the study of the forms of language determine the literary quality of a text. As a consequence, this approach privileges the norm and the features different genres may share. Hence, distinguishing markers of peculiarity tend to be overlooked. Lodge (1988:128) writes:

The structuralist approach to literary studies diverted the attention from what was unique to texts and towards what they have in common: codes, conventions, rules.

Concerned with the scientific status of linguistic studies, Structuralism calls into play several disciplines, such as anthropology, sociology, semiotics, poetics, etc. As a consequence of this cross-fertilization of disciplines, an interest in genres of discourse other than literary and a focus on language use⁸⁹ developed (see van Dijk, 1985:2-3; Montgomery et alii, 1992; Fowler, 1988).

This shift of attention to other types of discourse questions the classical distinction between "high" and "low" forms of literature. Any text is then worth considering -- from Ian Fleming's *Casino Royale*⁹⁰ and modern detective fiction ("mass literature") (Todorov, 1971b) to the politics and ideology of what may have been formerly considered higher forms such as Joyce's works (McCabe 1985b; 1979). Literary texts have been studied in terms of models of speech acts (Pratt, 1977), or in terms of the conventions of advertising, of political speeches, of interviews, among many others (cf. Burton's study of Pinter's plays, 1980; cf. also Leech, 1985; Carter & Nash, 1990).

In addition, the question of "high" and "low" forms has been an object of debate due to the interference literature gets from other media. Multimedia have been influencing the notion of literariness. On many occasions, the text is not one's first access to

literature. For example, plays are performed on television or novels are made into films of television series before they sell out as books⁹¹.

Historically grounded in Structuralism, attention to the language of the text associates rhetoric, poetics, and the social context. But the question still remains: how unique is a literary text? The socio-pragmatic approach may justify, for instance, why we know that the title "A new sprout from Brussels" in *The Lancet*⁹² is not the title of a poem. It also explains why this headline loses its metaphorical effect in a book on gardening. But it does not determine the effect of a word like "cabbages" on the reader nor on how s/he attributes meaning and function to it in

**"The time has come", the Walrus said,
"To talk of many things:
Of shoes -- and ships -- and sealing-wax --
Of cabbages -- and kings --
And why the sea is boiling hot --
And whether pigs have wings".**

Carroll (1871) in M. Gardner (ed)(1972:235).

In other words, the reception of a literary text by the everyday reader is often disregarded.

We do not favour the rebirth of Practical Criticism nor the reinstatement of the magic or the sanctity of literary language. On the other hand, we do not agree that the discrimination between literary and non-literary texts results in a higher regard for the literary text. This assumption, for instance, may underlie Carter & Nash's notion of cline of literariness (1983:123-124; cf. also Carter & Long, 1991). Although these authors recognize that non-literary texts may have literary aspects, the standards they set for the cline reveal a higher regard for what is literary. They suggest that the richer or more subtle the text, the **higher** up it travels on the scale. The less literary text gets a **lower** rating.

We do not agree that poetic language is a form of elevation (Jakobson, 1960; Enkvist, 1964). The traditional stance of criticism is to use criteria of quality to distinguish the canon of literary texts. These decisions about the canon will always depend on cultural agreement. Therefore, literary texts are considered different and the question of literary quality is an essential one but we shall not explore this issue any further. In the following sections we offer predictability and function as criteria for evaluation and expect that the readers' awareness of the literary text will convince them of its quality. However, we cannot guarantee that quality will always be appreciated.

Based on the relations between linguistics, stylistics, and poetics, we shall see how the reader's perception of the choice of lexis may help determine the literary quality of a text.

3.2.2. Predictability

3.2.2.1. The Cognitive Contribution

Cognitive psychology and information theory have suggested that what draws a reader's attention to an event is the degree of its unpredictability. For instance, newspaper headlines break the routine of daily events by making something news. The intention is to have the reader reflect upon the novel situation, compare it to a former set of expectations and, once realizing the difference, insert it in the repertoire as a new item. The same occurs with an outdoor poster. Gombrich (1959, 1986) points out that its function is to draw the viewer's attention to the improbable and try to hold it so that the process of interpretation is prolonged⁹³. Accommodation follows and this new state of affairs turns into part of the reader's past experience. When repeated, it will not cause further impact. This unpredictable factor has led Riffaterre (1959:158) to affirm that "predictability may result in superficial reading; unpredictability will compel attention"⁹⁴.

The phenomenon of unpredictability is occasioned by the disruption of a routine. Schmidt (1989b) comments that living beings act according to their phylogenetic routine. They operate inductively and predictably. They expect that what has happened successfully once will be repeated. Repetition is thus an inherent feature of any living system. In this sense, the informativity of an event will depend on the degree to which it disrupts this routine of repetitive structures⁹⁵.

In terms of linguistic realization, the text is more provocative when it becomes less predictable. Based on what has just occurred textually, the reader projects his/her expectations which can then be denied or confirmed (see Chapter 5.1.3). The text may also offer alternate choices which result in ambiguity.

Sperber & Wilson (1986) suggest that in communication, ambiguity is resolved by the economy principle. In other words, a person disambiguates possibilities by opting unconsciously for the one that requires the least effort. They summarize (idem:186) results of investigation on memory by saying that stereotypical events are "recorded in form of a single chunk, stored at a single location in memory and accessed as a single unit". They illustrate with the following example:

The child left the straw in the glass

Here, Sperber & Wilson claim that the word **straw** has two meanings: the drinking tube and the cereal stalk. But because "drinking with a straw" is a stereotypical event, it is preferred. It is a more easily accessible interpretation and is processed at minimal cost.

However, in the example above ambiguity has been artificially contrived for the sake of the argument. In fact, it is the social context which helps disambiguate and points toward the more adequate interpretation. In addition, the use of the definite article **the** assumes that **the straw** has already been identified and therefore is not ambiguous. In this case, the linguistic context has been responsible for disambiguation. To illustrate this point further, consider the following examples:

Example 1:

**When shall we three meet again
In thunder, lightning or in rain?**

(Macbeth, I.i.1)

Example 2:

**When shall we three meet again
At two, three, or never again?**

(hypothetical)

The interrogative pronoun **when** which initiates both examples signals that a time reference will be provided. In this sense, Example 1 is ambiguous. The reader must construct an alternative world where natural phenomena (**thunder, lightning and rain**) are made into moments. Notions of space and time are set in conflict. Example 2, on the other hand, confirms the predictions of **when** and the first line. **Two, three or, never again** indicate the time choice which has been anticipated by **when**. This second example contains less information than the first because it is more predictable.

In addition, the syntax in the Shakespearean text sets up false expectations. They are not fulfilled. **In thunder, lightning or in rain** are not alternatives, although the syntax presents them as such. This linguistic aspect is very revealing of the Witches' equivocal and ambiguous utterances. In Example 2, the choices are true alternatives⁹⁶.

Another illustration can be found in the following pair:

Many voices are heard **unintelligible syllable appalls**
Example 3a (Patience Strong) **Example 3b (Sylvia Plath)**

The reader finds Example 3a redundant for two reasons: first, the sound feature is already implied in the word **voice**; second, corpora analysis will prove that **voice** and **hear** are common collocates⁹⁷.

In Example 3b, the invitation for the reader to interact occurs more strongly. The unusual polysyllabic collocation makes reading different. The sound feature is brought to attention by the effect it causes. What impresses is the polysyllabic phrase itself. In addition, the word **syllable** does not normally occur with **appalls**⁹⁸.

Does this mean, then, that the more unpredictable the language of the text is to a reader, the more literary it is?

3.2.2.2. The Lexical Approach

As discussed above (Chapter 3.1) most words in literary discourse are ordinary words. It is their combination which conveys the literary quality of the text. What then makes the reader recognize the literary quality of the language?

Granted that language predictability is closely associated with frequency of occurrence (Sinclair, 1982b; Willis, 1990; Baker, 1992), we postulate that predictability, or the possibility of knowing in advance that a word, sentence, pattern, etc. will happen, has a major influence on indicating literariness.

Developments in computer research and the building of corpora have done much and can still do much to help researchers make rigorous scientific statements about predictability.

The notion of textual predictability depends largely on the studies of collocation. Sinclair (1991c) argues that words do not occur at random in a text and that the occurrence of a word or structure points ahead to the next realization, thus reducing the possibility of choice. He postulates that lexis, syntax and semantics are closely linked and have the function of prospecting ahead (Sinclair, 1991b)⁹⁹.

However, the same structure can yield more than one sense¹⁰⁰. In fact, ambiguity is used for rhetorical purposes. According to Sinclair, this fact does not pose a problem in everyday communication, as the text will tend towards disambiguation (see above). In literature, it can be used for stylistic effects. Therefore, if sense and structure are not inseparable but neither are they independent, they must be closely associated. In this case, the construction of meaning follows two principles:

- **the open-choice principle**, where a structure opens a slot that may be filled with any word, the only restraint being grammatical options (slot-and-filler model). This principle suggests that texts are "a series of slots which have to be filled from a lexicon which satisfies local restraints" (Sinclair, 1991c:109).
- **the idiom principle**, or the simultaneous choice of two or more words (e.g. "sing a song", "physical assault").

Sinclair (idem:113) continues the argument by stating that

Most normal text is made up of the occurrence of frequent words, and the frequent senses of less frequent words. Hence, normal text is largely delexicalized, and appears to be formed by the exercise of the idiom principle, with occasional switching to the open-choice principle.

In other words, non-literary texts undergo progressive delexicalization. Their language becomes predictable and non-reflexive. The reader pays less attention to the language itself. Contrarily, literary texts tend towards lexicalization, where more attention is given to the language which constitutes the text. In fact, in a literary text, words may become overlexicalized (Carter, 1987) on the discourse level. That is, they may allow two or more different meanings at the same time. Quite the reverse of language in spoken discourse, where meaning is negotiated for disambiguation, multiplicity of meaning is valued in literary discourse. The more the literary text draws on a range of possible meanings for the same word, the more it will bring about different experiences.

If there is a strong tendency towards delexicalization in normal English phraseology -- that is, a tendency towards collocation (Sinclair, 1991b), we may formulate the following hypothesis on the grounds of what has been discussed so far:

The literary quality of the language used in a text can be determined by the open-choice principle. If the idiom principle prevails, the reader should look for stylistic reasons which may justify this fact.

For instance, Pinter is known for using highly predictable language at times. When he uses clichés and other devices, such as adjacency pairs, he creates realistic sounding dialogues in which he reproduces naturally-occurring language (cf. Burton, 1980). This language, however, is not occurring in a natural environment. It has actually been transported from everyday use into a conventionally-accepted literary genre to create tension and conflict. The reader can thus find stylistic justification.

We are aware that evaluating the literary quality of a text as we propose above is very difficult. There are some major problems. First, it is difficult to check intuitively the frequency of combinations. Then, deciding on what to investigate, that is, isolating relevant features for processing, implies a subjective choice. Furthermore, predictability in terms of most probable collocations can only at present be substantiated in contemporary texts (cf. COBUILD's corpus). Before different corpora are gathered for each epoch, decisions on the literary quality of non-contemporary works must rely on previously established conventions.

To sum up, we have argued for an appreciation of the actual language of the text in order to determine its literary quality. This appreciation results from the reader's interaction with the text. Predictability of a text depends on the reader's response and interpretation of the words in it. Both the least probable occurrence of a word (including new coinages) and a stylistic justification of a high frequency collocation may enhance the literary dimension of a text. Computers may help justify the frequency of certain occurrences. In the next section we shall examine how function must also be taken into account when evaluating the literary quality of a text.

3.2.3. Function

Chapter 3.1 pointed out that the function of a literary text was to provide delight, group cohesion, and the possibility of reflecting on the nature of things and on the language itself¹⁰¹. Here we shall look into the function¹⁰² of literary language.

Linguistic predictability alone cannot answer for the difference between poetic and non-poetic effect. A crucial factor is the conventional expectations of the reader -- the "as if" behaviour (van Peer, 1986a:137) which provides the treatment the reader will give to the text.

The generic element entails a series of assumptions. Readers generally expect poems to contain rhyme and rhythm, to be more compressed in the use of language, and to provide figurative language. Culler (1975:161), using Genette's metaphor in *Figures II*, notes:

If one takes a piece of banal journalistic prose and sets it down on page as a lyric poem, surrounded by intimidating margins of silence, the words remain the same but their effects for readers are substantially altered.

Similarly, documents are expected to bear a closer relationship to a certain state of affairs in the real world and avoid ambiguous or conflicting interpretations. An advertisement is meant to sell a product, a newspaper to inform or comment, and a literary text to draw attention towards its own making¹⁰³.

However, these expectations can be modified. For instance, readers can look for aesthetic manifestations in the language of advertisement. In this case, they will be subverting the function of a specific genre and developing new dimensions not initially intended by the producer of the text. If one reads an advertisement as a poem, "new effects become possible because the conventions of the genre produce a new range of signs" (Culler, 1975:162).

De Beaugrande (in his introduction to Schmidt, 1982) agrees:

It is thus possible to treat as literature texts which were originally intended for use in other domains ... Conversely, texts intended as literature can, by shifting one's processing focus, be construed as political, religious, or historical statements.

This emphasis on purpose may be seen as a reaction to some formalist critics' (especially Jakobson & Jones's, 1970) indifference to the influence of the social context. The notion of purpose has been dealt with by different linguistic models. Van Dijk (1977) sees linguistic purpose in the theory of action. Halliday's social semiotics (1978, 1990a:146) claims that purpose is a linguistic reflection of mode. De Beaugrande & Dressler's textlinguistics (1981) explains purpose in the domain of knowledge of the world.

We argue that what is in the text alone cannot answer for the aesthetic character of the text. For example, suppose a literary critic receives a card from a colleague which starts:

Dear,

This is Just to Say

I have eaten
the plums
that were in the icebox

(a comment on the above and the latest news follow)

This opening of a much cited poem by William Carlos Williams (Culler 1975:175-6; Hawkes 1977,1986:139; Carter & Nash 1990:11-2; Widdowson, 1992) known for transforming a banal domestic note into a piece of literature is immediately recognized by the addressee as that specific poem and the history of criticism this text carries may even come to the addressee's mind. The addressee might remember the discussions on the graphological construction and formal arrangement, the poetic devices of enjambement, metre, line-breaks, etc., all of which allow the reader to consider the literary value of the note. However, in the present situation, the same so-called poem re-enters the non-literary context. It has been written on a postcard and is followed by more personally directed prose. The addressee recognizes the poem but now it has acquired a new function. The addressee does not look into its making. It is not being used for literary purposes. Its function is to establish an intimate relationship of shared knowledge between sender and receiver so that other issues which are not of literary concern may be ventilated. Hence, we agree with Easthope (1991:55) that "Literariness is an effect produced in the relation between text and reader".

Summarizing, any text fulfills a function. This function is ultimately ascribed by the reader, who will decide on the directions to give to the reading. In this sense, Brumfit & Carter's (1986:16) claim that "we read something as literature when we forego the need to assign it a function" should be revised. All texts have a function if we define it as the purpose the text fulfills. A literary text will be perceived by the reader as having a literary purpose.

Therefore we assume that the language of a literary text is used for doing things¹⁰⁴. We follow Pratt's (1977) suggestion that use-oriented linguistics bridges the gap between formalist and sociologically-oriented approaches to literature.

This functional-pragmatic approach contributes significantly to an EFLit context. It promotes learner-centred activities. It encourages students to manipulate the text and make decisions on how to read it (see exercise in Unit 12, Appendix I, where students are asked to take a piece of prose and read it as poetry). Students become more aware of conventional sets when they check the extent to which the language of the text corresponds to their expectations. In this way, they can decide on the function and the purpose of the literary text.

Notes

CHAPTER 4

LITERARY AWARENESS AND STYLISTICS

4.1. Initial Comments

Those linguists or philologists... who have penetrated deepest into the problems of language find themselves... like workmen piercing a tunnel: at a certain point they must hear the voices of their companions, the philosophers of Aesthetic, who have been at work on the other side. At a certain stage of scientific elaboration, linguistics... must merge itself in Aesthetic...

B. Croce¹⁰⁵

This chapter integrates linguistic and literary theories to establish theoretical grounds for a LitAw programme. It places the area of LitAw within the general framework of stylistic studies. In broad terms, stylistics¹⁰⁶ involves the analysis of the language of any text, the study of literary texts being one of its most important aspects (see Diagram 4.2). This means that although we shall look specifically into the language of literary texts we also acknowledge the existence of stylistic studies of non-literary texts¹⁰⁷.

This chapter points out how Jakobson's formal description of the poetic function of language and Halliday's semantic approach contribute to the development of a concept of stylistics which is relevant to studies in LitAw. Because we believe that stylistics offers a method for the study of a literary text in an EFLit context, a discussion of Widdowson's pedagogical application is also offered. In addition, different approaches to stylistics are surveyed in an attempt to classify and update the developments in the area. The chapter ends with a statement of the approach which has supported our Pilot Project.

4.1.1. What is Stylistics?

Stylistics¹⁰⁸ deals with one of the most complex and debatable areas of literary and linguistic investigations. Crystal (1987,1989:66) claims that "style is one of the thorniest concepts to be dealt with..."¹⁰⁹. Pearce (1977:1) comments:

there seem to be anything between half a dozen and a dozen labels for activities that seem, superficially at least, to be similar ... One obvious cause of the variety observed is simply that scholars from a number of disciplines and theoretical perspectives have converged on such analysis bringing their own aims, styles and terminologies with them.

Azuike (1992:109) discusses several theories and concepts of style and concludes that "the only consensus amongst practitioners of stylistics is that the concept is nebulous". In fact, stylistics grew out of the conflation of various disciplines (linguistics, literary criticism, literary history, theory of literature, etc.) into a wide-ranging and heterogeneous practice.

It is true that interdisciplinarity seems to characterize much of the work of the twentieth century. Psychoanalysts write on language, literature, and social history; linguists discuss the validity of a literary piece; computer scientists contribute to psychology and philosophy; physics is closer to art now than it has ever been (de Beaugrande, 1988b); stylisticians deal with philosophy and hermeneutics.

Diversity in definitions still prevails even when the field of research is restricted to the study of the language of literary productions. Sell (1991:xiv-xv) attributes it to the nature of language studies. Expounding Enkvist's views on the subject, he writes:

All language processing involves syntactic intelligibility, semantic comprehensibility, and pragmatic interpretability, this last being a matter of the interpreter's ability to build around the text a world in which it makes sense. All hermeneutic incongruities arise because interpreters with different backgrounds and in different circumstances have this ability to different degrees, and the worlds they build differ as well.

The establishment of associations¹¹⁰, the publication of specialized journals¹¹¹, the organization of conferences, among other factors, have fostered a general interest in the analysis of literary text from a linguistic perspective. Interest in stylistics as an area of integration between language and literature was considered significant enough to generate in 1989 the *Interface* series¹¹², which takes as its premise Jakobson's statement that

A linguist deaf to the poetic function of language and a literary scholar indifferent to linguistic problems and unconvertant with linguistic methods, are equally flagrant anachronisms¹¹³.

Carter, the editor, defines the aims of the series:

to examine topics at the 'interface' of language studies and literary criticism and in so doing to build bridges between these traditionally divided disciplines.

Besides the diversity in language studies, another reason for the difficulty of pinning down the area of stylistics stems from the lack of agreement about its origins. Some see it as branching away from classical rhetoric and aesthetics (Guiraud, 1967)¹¹⁴. Others attribute to it a more recent origin claiming that the term grew out of advances in linguistics (see Chapter 4.2).

A further reason for the fuzzy limits derives from the fact that most stylisticians are linguists who have been initially trained in literary studies. As a result, some investigators hold that stylistics is a branch of Applied Linguistics (Kachru & Stahlke, 1972; Widdowson, 1975; Coulthard, 1977; Fowler, 1979)¹¹⁵ thus deepening the schism between language and literature (cf. the Fowler/Bateson 1966/1967 debate collected in Fowler, 1971. See also Short & Breen, 1988a and van Peer, 1989:1-12).

Besides linguistics, we believe that stylistics benefits from advances in other subjects as well, such as literary theory and cognitive science (see Chapter 2.6).

Hence, in its simplest terms, when dealing with literary texts, stylistics investigates those linguistic choices which become meaningful in a particular context and explains their effect on the reader. Crystal (1987,1989:66) defines:

Style is seen as the (conscious or unconscious) selection of a set of linguistic features from all the possibilities in a language. The effects these features convey can be understood only by intuitively sensing the choices that have been made (as when we react to the linguistic impact of a religious archaism, a poetic rhyme, or a joke), and it is usually enough simply to respond to the effect in this way. But there are often occasions when we have to develop a more analytical approach, as when we are asked our opinion about a particular use of language. Here, when we need to explain our responses to others, or even advise others how to respond (as in the teaching of literature), our intuition needs to be supplemented by a more objective account of style. It is this approach which is known as *stylistics*.

By **stylistics** we mean the study of the nature of those linguistic patterns that are potentially present in all texts and which have local, instantial meaning. These linguistic patterns are not conventionally meaningful but are in some circumstances capable of being interpreted as meaningful. Stylistics investigates the use of these patterns in meaning. This notion of stylistics assumes that language is the medium and the necessary condition for the existence of literature. Hence, linguistic description of literary interpretation becomes relevant, as Sinclair (1966:68) notes:

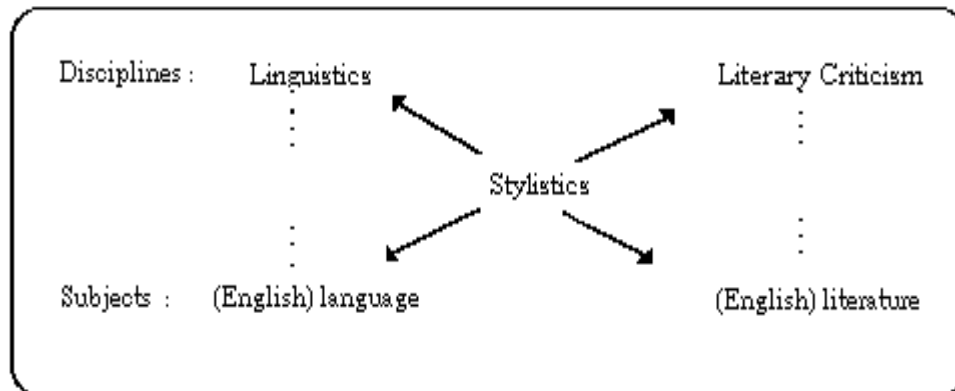
Modern methods of linguistic analysis based on more comprehensive and detailed theories of language can at least tackle the problem of describing literature.

Stylistics allows the reader to be explicit about his/her reaction to a text. This explicitness can only be obtained after the reader's response and close investigation into the linguistic choices which constitutes the text. In Firth's words (1958a:190), "the disciplines and techniques of linguistics are directed to assist us in making statements of meaning".

In the next section we shall see how our approach to stylistics requires a reappraisal of a pioneer work in the area of teaching literature.

4.1.2. Pedagogic Implications: The Pioneer Work of H.G. Widdowson

One of the first studies to discuss the implications of stylistics to the teaching of literature is Widdowson (1975). Widdowson points out that stylistics is neither a discipline nor a subject. The following diagram illustrates his argument:



(in Widdowson, idem: 4)

Diagram 4.1. Widdowson's view of stylistics

As the diagram shows, stylistics here is a method of analysis rather than a discipline. Widdowson (idem:3) claims that stylistics "has (as yet at least) no autonomous domain of its own". Rather, he considers it a bridge between the disciplines of linguistics and literary criticism and the subjects (English) language and (English) literature. This diagram also suggests that by means of stylistics a student can move from linguistics into English Literature and from literary criticism into language. However, nearly twenty years after its publication, the flexibility proposed by this diagram does not seem to have worked in the real world of teaching.

Moreover, Widdowson holds that literary critics are concerned with the message of the text whereas linguists investigate the code. We believe that code and message cannot be seen in isolation. The choice of linguistic forms necessarily generates meaning (cf. Barthes, 1971a).

The great merit of this model is to have placed stylistics in a pedagogical context. But the question of whose responsibility it is to sensitize students to the literary text remains unsolved. Is it a job for the linguist, the literary critic, or for both? What is the place of stylistics in the curriculum?

These questions entail ideologically bound answers which involve educational, political and economic decisions about the profession and the disciplines (cf. Dendrinos, 1992:102). Measures have to be taken to ensure that teachers be trained and programmes devised to accommodate the new practice.

To partly solve some of these problems, we offer a model which requires a definition of stylistics as a discipline, though not a monolithic one. Widdowson (idem:2) describes **discipline** as "a set of abilities, concepts, ways of thinking, associated with a particular area of human enquiry". The reality of this thesis with its theoretical grounding and practical applications is evidence enough for considering stylistics a discipline.

We are not alone in this claim. Ullmann (1971:135) writes:

It follows that stylistics is not a mere branch of linguistics but a parallel discipline which investigates the same phenomena from its own point of view.

Van Dijk (1977:13) refers to

the disciplines of RHETORIC, STYLISTICS and LITERARY SCHOLARSHIP ... which have been most

concerned with the study of certain properties of discourse and certain types of discourse...The specific structures described by these disciplines should be viewed as "additional" to the basic linguistic structure of discourse.

More recently, Toolan (1992:42) affirms that stylistics "promotes a colloquy and a discipline, if not yet a science"¹¹⁶.

Based on these arguments, we suggest the following modification to Widdowson's diagram¹¹⁷:

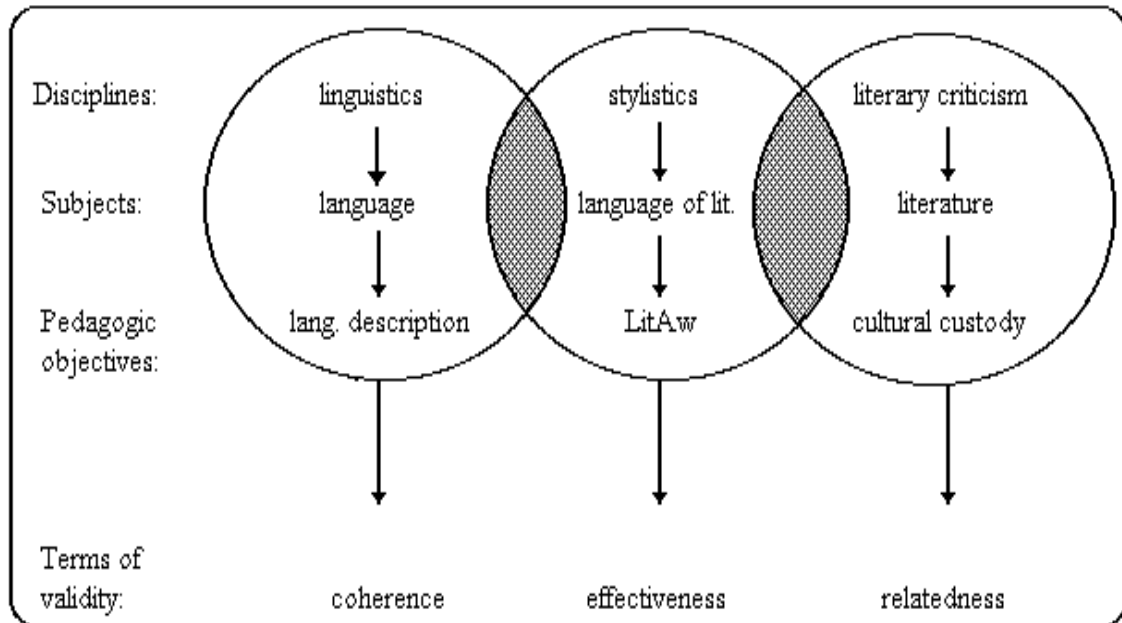


Diagram 4.2 . The place of stylistics

Although it is a fact that nowadays boundaries between disciplines are harder to define, some limits must be set for teaching purposes. This diagram proposes three separate disciplines with three different objectives but with overlapping areas. The aim of linguistics is to "show how language works" (Halliday, 1966:67). Linguistics takes as its main objective the description of a system. In schools and universities, it is a discipline taken up by language teachers or linguists, who may describe the language for different purposes, including foreign language acquisition. They often discuss the theoretical implications of different descriptions.

Literary criticism engages in the study of generic, ideological, historical, or intertextual frameworks in order to evaluate and validate cultural manifestations. Literary criticism validates those aspects which certain societies are interested in preserving. At the same time, literary critics have the right to discuss and change those values. In this sense, custody includes not only the preservation of traditional values but also the right to question them. Literary criticism materializes in literature classes which deal, for instance, with facts about the literary world or where symbolic and mythological themes are discussed. It draws intertextual relations that may not necessarily be covered by stylistics (Sinclair, 1982b:16)¹¹⁸. Literary criticism is performed by the literature teacher and/or scholar.

Linguistics and literary criticism are validated by terms of coherence and relatedness, that is, how acceptable or suitable a certain description or interpretation is to certain pre-established models.

Stylistics deals with interpretative processes aiming at a sensitized reading. It investigates details of particular texts, how certain patterns have aesthetic, emotional, and epistemic functions. Hence, its term of validity is not appropriateness or acceptability but effectiveness¹¹⁹. Stylistics is fully materialized in LitAw classes, which may be programmed

for different educational levels¹²⁰. The same argument Widdowson uses for the autonomy of language and literature applies to stylistics. He writes (op.cit.:3-4):

both (language and literature) have considerable overlap with psychology. But the fact that they draw ideas and techniques from other disciplines does not prevent them from being autonomous.

Besides considering Linguistics, Stylistics, and Literary Criticism as three distinctive disciplines, Diagram 4.2 also reveals areas where the disciplines overlap. This means that insofar as linguistics and literary criticism take patterns of text and invest them with local meaning, they are also dealing with applications of stylistics. For instance, when linguists like Kress and Hodge (1979) discuss the ideology of the language of newspapers and Cook (1992) looks into the language of advertisement, or Fairclough (1989:110-111) lists stylistically-oriented questions to reveal the ideological incline of a text, they are bringing stylistic concerns into genres other than literature. They investigate parts of the text in relation to language as a system in order to find out how the text came to be what it is. That is, they are making stylistic comments in linguistic terms¹²¹.

By the same token, when literary critics, like post-structuralists (e.g. Derrida, 1978; Barthes, 1974) or, to some extent, the New Critics (see Belsey's criticism, 1980, 1991: 15-20; see also Chapter 3.1.1), after considering the entire text, turn to an observation of the word in order to come to terms with an interpretation, they are entering the area of stylistics. Literary critics may not work in a systematically organized or disciplined way but we may claim that they are applying stylistics when they base their interpretation on the language of the text.

In short, linguistics can be considered mostly as the study of language as a system (social or not), literary criticism sees texts and language as cultural artefacts, and stylistics studies what language can do, how it can be patterned to create certain effects, and how choices are culturally-dependent. We also acknowledge overlapping areas, where clearcut distinctions cannot be drawn.

A programme in LitAw should rely on stylistics because this discipline provides strategies which may guide students towards a coherent and justifiable interpretation. We conclude with Toolan (1990:42) that

For students of English literature for whom the language is not a native tongue, and for those not already sensitive to the craft and effects of different ways with words, stylistics is an aid in the grasp of certain kinds of structuring, craft, and effect.

The next section shall deal with the organic growth of the concept of stylistics for the purposes of LitAw studies.

4.2. The Roles of Jakobson and Halliday

This section examines the contribution of two of the most prominent scholars in the establishment of stylistics as a discipline.

Roman Jakobson's life story is closely linked to the development of linguistic studies. A Russian formalist in 1920, Jakobson emigrated to Prague in the thirties, participating in the Linguistic Circle. In the forties he emigrated to the U.S.A. and worked at the M.I.T. until his death in the early eighties.

Although Jakobson has never regarded himself as a stylistician, it was his principle of equivalence which provided solid ground for the development of stylistics as a discipline¹²². The founding stone was laid in a paper delivered at the 1958 Style in Language Conference at the University of Indiana¹²³. Published in 1960, this paper can be regarded as a manifesto for contemporary stylistics¹²⁴.

Initially, Jakobson distinguishes between the critic, or the person who gives out a verdict on a text, and the scholar, the interpreter of texts. He defines stylistics as a science of interpretation and thus part of the latter's work¹²⁵. Jakobson holds that a text does not contain any final truth. Any interpretation must be provisional as it is subject to reinterpretation and, consequently, change. What, then, makes a verbal message a work of art?

Considering poetics as a branch of linguistics, Jakobson answers that a message is poetic when it focuses on the message as such. To understand this statement we must look at the schematic representation Jakobson draws of how information is conveyed (Jakobson, 1960:353):

The ADDRESSER sends a MESSAGE to the ADDRESSEE. To be operative, the message requires a CONTEXT... seizable by the addressee, and either verbal or capable of being verbalized, a CODE fully or at least partially common to the addresser and the addressee...; and finally a CONTACT, a physical and psychological connection between an addresser and an addressee enabling both of them to stay in communication.

Jakobson then maps these six constitutive factors of a linguistic event (addresser, addressee, contact, code, context, message) onto six linguistic functions. Thus, he comes up with the following relations:

Linguistic factors	Linguistic functions
1. addresser	emotive
2. addressee	conative
3. contact	phatic
4. code	metalinguistic
5. context	referential
6. message	poetic

Jakobson affirms that the poetic function is not specific to poetic messages. Any text accumulates functions, which are set in a hierarchical order. We say that a text has a specific function when that function is the dominant one, but not necessarily the only one. For example, in Pinter's play *Last to Go*, the dramatic effect depends on the predominance of the phatic function (Burton, 1980). That is, the characters address each other in an attempt to prolong or check the communication without communicating any message at all.

If any message may carry a poetic function, what linguistic criteria determine poetic language? Jakobson argues that language is organized according to two basic operations: **selection**, realized through equivalence (similarity/ dissimilarity,

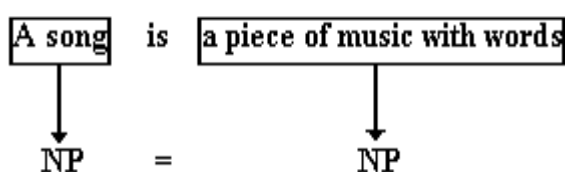
antonymy/synonymy), and **combination**, i.e., that sounds, words or structures are put together linearly and sequentially in a sentence. Selection answers for choice of one element from all the other possibilities in the system. The choice is possible as the elements stand in a paradigmatic relation to each other, on a vertical axis. In a combination, a syntagmatic relationship is established on a horizontal axis¹²⁶. The choices succeed one another in time and are arranged according to rules of grammar¹²⁷. For instance, consider the following sentence:

The car crashed into a tree.

Car is the theme of the message. The addresser chooses this word from all mutually equivalent possibilities the system offers, that is, elements which belong to the same semantic field, such as **vehicle**, **Volkswagen**, **truck**. Then, the addresser chooses the verb **crash** among other equal possibilities, such as **hit**, or **bump**. The selected elements **car** and **crash** are combined into a sequence, that is, arranged linearly according to rules of grammar. Hence, we can say that selection depends on **equivalence** of elements whereas combination is based on **contiguity**.

According to Jakobson, what occurs in the poetic function is that equivalence is constitutive of sequence. In parallelism, rhyme, metre, one sequence is equalled to other sequences. They are equivalent because they stand on an alternative paradigmatic level but their similarity is imposed on contiguity. It is this situation which "imparts to poetry its thoroughgoing symbolic, multiplex, polysemantic essence" (Jakobson, 1960:370).

Here is where Jakobson formulates one of his most celebrated statements: "The poetic function projects the principle of equivalence from the axis of selection onto the axis of combination" (idem:358). This statement may lead one to believe that the poetic and the metalinguistic functions are based on the same principle since both functions depend on equivalent units which are arranged sequentially. For instance, in



two equal structures are combined (NP = NP). Jakobson says that in situations like glossing, the combination of similar structures is used to form an equation (A = A).

Now, in

And I made a rural pen	[AND+S+V+O]
And I stain'd the water clear,	[AND+S+V+O]
And I wrote my happy songs	[AND+S+V+O]
Every child may joy to hear ¹²⁸ .	

the equivalent structures [AND+S+V+O] do not build an equation. They build a sequence (A + A + A). Jakobson argues that poetic language chooses repeated combinations of similar elements, also called parallelism, or the recurrence of equivalent forms, and that it is this repetition of sequences that brings about ambiguity and polysemy. So, to him, parallelism, or the recurrence of equivalent forms, is the basic relationship underlying poetry.

It is this focus on form which leads Jakobson to believe that the strength of a poem depends on the quantity of its patterning (see how Rosenblatt 1978:26, quoted in Chapter 7.1.4.1, interprets the Jakobsonian principle from a reader's point of view). Van Peer (1986a:12) criticizes:

What Jakobson leaves out... is the relevance of a particular pattern, i.e., the necessary link between the occurrence of a grammatical or phonological pattern and a particular poetic effect.

Jakobson's most relevant contribution was to establish criteria and a metalanguage for discussing poetic language. However, some questions were left unanswered: Is repeated "sameness" really essential to poetic language? If repetition is present in all uses of language, what makes a repetition "poetic"? What linguistic patterns are stylistically significant? How to account for prose?¹²⁹

Halliday (1971, 1981) provides some of the answers. He points out that regularity of patterns in language does not guarantee literary quality. In his view, Jakobson's description is insufficient because it does not account for the role of semantics in the study of style.

Therefore, Halliday sets out to establish semantic criteria for literary relevance. These criteria depend on the three functions of language: the ideational (logical and experiential), the interpersonal (participatory), and the textual (enabling)¹³⁰. In order to be valid, a stylistic pattern must play a part in all of these functions, or, in Halliday's words, the situation must be one in which the "ideational content and personal interaction are woven together with, and by means of, the textual structure to form a coherent whole" (idem:337). He adds:

If we can relate the linguistic patterns (grammatical, lexical, and even phonological) to the underlying functions of language, we have a criterion for eliminating what is trivial and for distinguishing true foregrounding from mere prominence of a statistical or an absolute kind (idem:339).

Halliday separates prominence, or linguistic highlighting in general, from foregrounding, or significant prominence, that is, a highlighting which has a function in the text and thereby contributes to the general meaning (see Chapter 3.1.2). However, in the discussion that follows, this distinction seems to lose its clarity. Halliday claims that stylistics is not a "science of discards", of oddities, of departures from the norm. A feature will only be foregrounded if it relates to the meaning of the text as a whole. By implication, any foregrounding that does not relate to the whole meaning is not relevant (cf. Leech 1969,1973:56-8).

In addition, foregrounding is not necessarily a departure from an external norm. It may derive from local use. Much like the role transitivity plays in the making of meaning in Golding's "The Inheritors" (cf. Halliday, op.cit.), subordination in the passage from *Pickwick Papers* (see Unit 3 in Appendix I) provides a "vision of things" (Halliday, idem: 339). There is nothing irregular in the syntax of Dickens's passage, but only the combination of subordinate clauses producing an effect of suspension or arrest (see Chapter 6.2.2). This syntax reflects the wondering of a philosopher's mind (logical), his wanderings around the streets of London (experiential), his contemplative mood (interpersonal), and the expression of this situation in a certain linguistic arrangement (textual). This specific choice of pattern and subject-matter also reveals the irony in the narrator's voice and his opinion of the character (interpersonal). Hence, this passage is another illustration of "how grammar can convey levels of meaning in literature" (Halliday, idem:347).

One of the objections that can be raised to both Jakobson's and Halliday's descriptions is their lack of reference to the role of the reader in perceiving the patterns. Neither scholar considers reading a negotiation of meaning. They do not account for misunderstandings, blanks, expectations, projections, etc. that arise in the act of reading.

Another objection is that both Halliday and Jakobson assume that readers are competent in detecting indisputable stylistic patterns and that there is a uniformity in the response to these patterns. They imply that one does not need an elaborate theory of reading. However, we believe that the central issue is not in the perception of patterns but in their interpretation¹³¹. Fish (1985:446) rightly notes that "The semantic meaning of the text does not announce itself; it must be decided upon, that is, interpreted". Rarely will someone disagree

with the description of a pattern. Difference and disagreement reside in the validity of one's interpretation and not necessarily in the detection of patterns, as both Halliday and Jakobson thought.

The establishing of a logical connection between patterns, this weaving of relationships, is what Enkvist (1991:19) calls the building of a "scenario, or a text world". He argues that literary value depends on how the reader "uses features of the text to build up his particular text world around that text" (idem:24). Hence, the complexity of the reader's verbalized account will depend on the linguistic patterns perceived and how these patterns are interpreted in relation to the whole text.

Despite the fact that we are now granted the benefit of hindsight, we must acknowledge that Jakobson's principle of equivalence and Halliday's three-function model offered significant means for investigating and discussing the relevance of pattern detection to the understanding of a literary text (see also Chapter 2.6.3).

4.3. A Taxonomy of Stylistic Studies

**What's in a name? that which we call a rose
By any other name would smell as sweet;**
W. Shakespeare¹³²

**What matters is not the label but the criteria relating it
to what is labelled.**
R. Pearce¹³³

4.3.1. Some Comments

The mansion of stylistics has many chambers. Although the last thirty-five years have witnessed a proliferation of works on stylistic analysis, and annotated bibliographies been published (Bailey & Burton, 1968; Schmidt, 1983d; Woodson et alii, 1989; Weber, 1990), few attempts have been made to classify these works¹³⁴.

On this subject Todorov (1971a:29) writes:

The bibliographies of stylistics contain thousands of titles, there is no lack of observed facts; however, the polysemy of concepts, the imprecision of methods, the uncertainty about the very goal of this research hardly make for a prosperous discipline. Our efforts ought to be directed toward the elaboration of a general theory, toward the creation of a coherent and homogeneous framework within which individual stylistic studies could find a place.

There are at least four reasons for this apparently difficult taxonomic enterprise. Firstly, stylisticians keep revising their production in the light of new developments in linguistics and literary studies¹³⁵. Secondly, the works tend to be eclectic and interdisciplinary¹³⁶. Thirdly, a classification by names is impossible as the same author may "belong" to different groups. Fourthly, the dividing line between the types of approaches is not neat. There is much overlapping¹³⁷.

It is clear that some sort of systematization is needed. However, any classification should be regarded an abstraction, a didactic strategy to clear the ground rather than a statement of truth.

Carter (1988,1989a)¹³⁸ has faced the challenge. He distinguishes between linguistic, literary, and pedagogical stylistics (involving both native and foreign language learners). Later (with Simpson, 1989), he adds discourse stylistics to his classification. Carter tries to follow roughly a chronological development according to landmark publications in the area (Freeman, 1970; Freeman, 1981; Traugott & Pratt, 1980). He argues that each of the three last decades have been characterized by a particular perspective, namely, formalism (the sixties), functionalism (the seventies), and discourse studies (the eighties)¹³⁹.

The next section offers a different classification. Rather than editions of collected articles, preference is given to seminal isolated works in the field of stylistics. It should be made clear that when authors are placed under the same heading, this does not imply that individuals hold a sense of group identity. What is suggested is that certain works share certain tendencies. One work may share similarities with works placed in other groups. Therefore, the groups are not necessarily mutually exclusive alternatives. Classification is based on differences of emphasis rather than on clearcut categories.

We are aware that a semantics of sentences cannot ultimately be dissociated from a semantics of discourse (van Dijk, 1977). We propose a classification which privileges

an orientation toward certain types of analysis. To arrive at the following taxonomy, three steps were taken:

- a survey of the most influential and cited research and analytical works in order to identify their theoretical incline.
- a clustering of the texts which share similar views of stylistics.
- attribution of an epithet to each of these clusters.

Differing from Carter's our classification does not follow a clearly defined chronological order. We are also aware that many of the researchers we mention would not agree with the labels under which their works have been attached. Ultimately, labels are not relevant. What follows is a rough classification of a thorny area which, far from being complete or definitive, is open to revision.

4.3.2. General Framework

Literature is here understood as the reader's perception of the artistic expression of words on a page. Sinclair (1985b:18) suggests that

The purpose of a literary text is to secure from its readers a complex, evaluative interpretation; both globally (asking readers to answer questions like "What does this mean to me?") and analytically (how the components of the artifact have their several effects).

In other words, literature evaluates itself and the way the world is perceived (see Chapters 3.1 and 3.2). It is self-referential in the sense that it draws attention to its own making (Carter 1988, 1989b; Widdowson, 1992).

Literature depends on three elements for its realization -- the text, the writer, and the reader. Interpretations vary according to the relevance each critic attaches to one of these three elements (see endnote 34 in Chapter 3 and Chapter 5.1.1).

Stylistic studies as they stand today follow this general framework: four distinct theoretical areas with different objectives cross-fertilize, resulting in interdisciplinary and empirical approaches. The main theoretical grounds are: linguistics, literary theory (including literary history), cognitive sciences (including Artificial Intelligence), and stylistics.

On the theoretical level, linguistics offers a description of the language which constitutes the text. It provides models to explain the patterns which come into the making of the text, such as how subordination prevails in a certain passage or how a certain text lacks pronoun reference.

Literary theory allows classification of the text according to a literary tradition, to genres, to ideological issues or schools of thought. We may classify a text as a lyrical poem, a Greek tragedy, a modern novel, etc. We can also provide a Marxist, Feminist or any other interpretation of a text.

Cognitive sciences contribute with the studies of awareness, of how the individual ascribes meaning to language patterns, how one is able to reflect upon the linguistic system and draw interpretations, or how inference and presuppositions work. Cognitive studies reveal the operating modes of the brain (see Chapter 2.6.1).

Stylistics, as we see it here, is the investigation of literary texts which looks into the linguistic features that produce an aesthetic response in the reader. Hence, it is concerned with the function of certain linguistic choices (see Chapter 4.1). Its main objective is to provide theoretical support for textual interpretations¹⁴⁰.

Cross-fertilization between these areas of study results in a series of major empirical approaches or applications. The emphasis each of these approaches gives to a theoretical area results in different critical practices¹⁴¹. Although limits are hard to define, we shall now describe briefly each of these orientations, which tend to follow the developments in linguistic studies.

4.3.3. A Survey of the Approaches

4.3.3.1. Linguistic-Oriented Stylistics

There seems to be little agreement over the ground covered by Linguistic Stylistics (Pearce, 1977). If stylistics is the linguistic study of literary text, the term linguistic stylistics sounds tautological. In fact, this label has been used to categorize those early studies which follow a more radical structuralist descriptive linguistics. The critics here apply a methodology to samples of literary texts in order to classify units below sentence level (Jakobson, 1968; Jakobson & Jones, 1970). This is the reason why this orientation works better with poems or with short texts. It follows linguistic research which considers "the SENTENCE the maximum unit of description both at the morphosyntactic and the semantic levels of description" (van Dijk, 1977:2).

Linguistic stylistics became more radical as a number of analytic critics from the Practical Criticism tradition resorted to aspects of linguistics without giving up their former practice (for example, David Daiches, William Empson, David Lodge, among others)¹⁴². Holding that Practical Criticism was not rigorous enough, linguistic stylisticians confined themselves to the observation of linguistic techniques (cf. Halliday's (1967) analysis of Yeats's "Leda and the Swan"; also, Sinclair's (1966) analysis of Larkin's "The Lamb").

The following statement can be understood as a kind of "declaration of principles" of linguistic stylistics:

Literature is not a living organism, it is stone dead; it is marks on paper, or particular frequencies of the sound wave, or the visual and aural phenomena at a dramatic performance. Although I often agree with Professor Richards I would strongly contest his assertions in *Style in Language* that poetry is not the lines; poetry is the lines, and nothing else. And if we have the training, we can apprehend the meaning of the lines in basically the same way as we apprehend the meaning of any other piece of language (Sinclair, in Press, 1963:98-99).

Linguistic stylisticians avoid independent or unmotivated reference to the literary or social context. Fowler (1966b,1979:7) criticizes one of their major productions. He writes:

Jakobson's "exhaustive" analyses of Baudelaire and Shakespeare are notoriously shallow, formalistic, dominated by mechanical and perhaps spurious patterns in phonology and syntax, absolutely uninformative when the analyst comes to interpretation or to placing in history.

The works of a linguistic stylistic orientation may turn out interesting classifications, lists of features, and helpful statistical accounts but do not generally reveal the way literature functions (cf. Iser 1978,1987:89). They tend to apply linguistic models to literary descriptions. Questions of how patterns are perceived and selected, or what effect they produce, are not raised. This orientation is mostly held by those critics who believe that literature consists of a special kind of language (see Chapter 3.1.2)¹⁴³. Carter (1982a) collects a number of essays which interpret texts from a linguistic stylistics perspective.

4.3.3.2. Discourse-Oriented Stylistics

Following more recent developments in linguistics stylistics, discourse stylisticians work on suprasentential level. Their productions reveal a strong influence from Harris's (1952) outline for the distribution of linguistic elements which link sentences within a text and from Firth's notion of lexical collocation and colligation (cf. Monaghan, 1979; see also Chapter 2.6.3). Fowler (1966b:20) explains this orientation. He writes:

It must be emphasized that the primary unit for stylistic description is a whole text seen as a unit, not as a string of sentences.

Discourse-oriented stylistics applies descriptions of discourse analysis and narrative organization to the study of literary texts (cf. Carter 1989b:167-169). It may investigate intersentential cohesion or narrative and textual macrostructures (van Dijk, 1977). In this case, stylistics draws from textlinguistics, which holds that individual sentences depend on textual macropatterns and other neighbouring sentences¹⁴⁴.

Cummings & Simmons (1983) provide a collection of analyses which travel through Halliday's levels of language from within the clause to beyond sentence level¹⁴⁵. Another example is Leech's (1985) analysis of "Ode to the West Wind". Although basically carried out on the lexico-syntactic level, this study extends its investigation beyond the sentence level. Longer stretches of text are studied in order to support an interpretation (Sinclair, 1988a)¹⁴⁶.

In the preface to a collection of discourse-oriented essays, Carter & Simpson (1989) explain the difference between linguistic and discourse stylistics, where

... analysis of grammar only takes us some of the way in accounting for textual meaning and ... this needs to be supplemented by analysis "beyond the sentence" or beyond grammar, i.e., in the domain which is termed text or discourse.

4.3.3.3. Pragmatic-Oriented Stylistics

Sharing many features with discourse stylistics, pragmatic-oriented studies focus on communicative behaviour. They investigate how the study of conversation can help understand literary discourse. Leech (1983) defines the pragmatic approach as a tendency to consider the text from an interactive point of view.¹⁴⁷

For pragmatic stylisticians words are actions performed in a socio-cultural environment (van Peer in Sell, 1991. See also the Abo Akademi University's Project on Literary Pragmatics in Finland, in Sell, 1991). Titles such as *Towards a Speech Act Theory of Literary Discourse* (Pratt, 1977) or "How to do things with texts" (van Peer, 1988b) reveal the influence of language philosophers of pragmatic orientation (Wittgenstein, 1958; Austin, 1962; Searle, 1969). Coulthard (1977) applies conversational analysis theory to *Othello*. He arrives at the conclusion that Othello is convinced by Iago in Act III.iii by means of deliberately unanswered and clumsy questions. Adamson (1988) applies a theory of diglossia to the same text to prove how Iago rouses Othello's suspicion. Pratt (op.cit.) investigates how literary texts deliberately flout Gricean conversational maxims. Short (1981) studies drama also based on Gricean models and speech act theories. Fowler (1979:15) concludes:

At the more "superficial" end of linguistics, illocutionary or pragmatic theory leads us to study explicitly *manipulative* constructions such as imperatives, interrogatives, responses, etc. At a more abstract level, implicature, presupposition, and other assumptions... are highly promising for literary theory and analysis.

4.3.3.4. Literary-Oriented Stylistics

Like pragmatic-oriented stylistics, the works under this heading extend their investigations beyond the text into the social and historical forces which influence the production and reception of a text.

Style here is regarded as "less text-immanent than as existing within the domain of social discourse process" (Carter, 1988,1989a:12). This means an acceptance that every text bears an ideological imprint. The argument here is that if texts depend on socio-cultural and political determinants, they are subject to value-judgement and these value judgements should be discussed in clear terms (Eagleton, 1983; Graff, 1987; Derrida, 1978). In other words, a text is a social construct, a part of a socio-economic, political and literary tradition (Durant & Fabb, 1990:59; Birch, 1989:29; Montgomery et alii, 1992:10). Pratt (1989:22) asks for a stylistics that goes beyond purely aesthetic considerations and takes into account the ideological, socio-cultural and historical dimensions of literature. She writes:

Indeed, an understanding of the social, historical and ideological dimensions of discourse can contribute a great deal to the interests of aesthetics.

Van Peer's definition of literature (1991:130) reveals an implicit concern with history and literature. He writes:

textuality is partly a linguistic characteristic and partly *the result of socio-cultural forces which provide the text its place and function within society as a whole* (my italics).

This approach, supported by Colin MacCabe, has been developed in the Programme of Literary Linguistics at the University of Strathclyde. The brochure of their 1991 programme informs that

In its simplest sense it (literary linguistics) applies the methods of linguistics to the study of literature; but literary linguistics takes neither its object, "literature", nor its methods, "linguistics", for granted... Literary linguistics, therefore, is concerned with the shifting boundaries of "the literary" and its relationships with other domains -- relationships which are informed, at least in part, by the application of power.

In approaching these issues linguistically, literary linguistics does focus upon texts, but not merely as vehicles of linguistic structure and pattern. Texts are considered preeminently as situated (communicative) activity -- as instances of discourse which set into play complex relationships between writers, texts, and readerships. In this way texts are treated as moments in communication, thereby emphasizing that meanings and interpretations are cued and constrained by the text, but not monolithically determined by it.

At this point a remark must be made about terminology. Not all works which purport to be literary or ideologically-oriented stylistics follow the Strathclyde orientation. For instance, Cluysenaar (1976) uses the word "dominant" in the subtitle of her *Literary Stylistics*, but her work is closer to a linguistic stylistics study than she would probably acknowledge [for a detailed criticism of Cluysenaar, see Pearce (1977:18-22)].

Literary-oriented stylistics identifies more closely with literary theory than the other approaches. Literary stylistics has an attributive function. It classifies texts according to

types of discourse, to genres, and to a literary tradition, and may discuss issues such as race, class, and gender. More recently, the term "radical stylistics" has been proposed to indicate "a method for understanding the ways in which all sorts of "realities" are constructed through language" (Burton, 1982:201; cf. also theme of the 1994 PALA Conference).

Finally, Birch (1989:167) defines literary stylistics as "a study not just of structures of language and texts, but of the people and institutions that shape the various ways language means".

4.3.3.5. Mentalist-Oriented Stylistics

Similar to linguistic-oriented stylistics, this approach is mostly descriptive, but whereas linguistic stylisticians tend to follow early structuralism and, to some extent, systemic grammar, mentalist stylisticians follow transformational-generative grammar and the Chomskyan model (see Haynes, 1969 for an account). Toolan (1990:2) criticizes this approach, which he considers narrow because it follows the "microlinguistic turn of generativism".

Mentalist stylisticians value the relation of language to mind. Leech (1983,1990:46) distinguishes between mentalist ("formalist") and functionalist approaches. He writes:

a. Formalists (eg Chomsky) tend to regard language primarily as a mental phenomenon. Functionalists (eg Halliday) tend to regard it primarily as a societal phenomenon.

b. Formalists tend to explain linguistic universals as deriving from a common genetic linguistic inheritance of the human species. Functionalists tend to explain them as deriving from the universality of the uses to which language is put in human societies.

A representative example of mentalist stylistic approach is Thorne's article "Generative Grammar and Stylistic Analysis" (in Freeman, 1981). Here Thorne is concerned, like Chomsky, with grammaticality and acceptability of forms. He equates the definition of stylistics with judgements on manifestations of linguistic competence. Thorne proposes that a grammatical model be developed for each poem. He also suggests an investigation on how the surface structure reflects the deep structure in a specific poem.

These notions imply a pre-existing norm. The reader already brings intuitions about language to the text. Thorne (idem:44) writes:

... the basic postulates of both studies (generative grammar explicitly, traditional stylistics implicitly) are mentalistic. In both cases, the most important data are responses relating to what is intuitively known about language structure. It can be argued that only a mentalistic grammar can provide an adequate basis for stylistics.

Thorne opposes Saussurean linguistics, and consequently linguistics stylistics, for being concerned only with what is observable, that is, with "surface structure". He holds that stylistic judgements belong to the area defined as "deep structure". Cook (1992:71) points out that the metaphor deep/surface structure is somewhat pejorative. Surface is associated to "trivial, false and empty-headed", whereas deep is "serious, genuine and thoughtful". In this sense, mentalist stylisticians believed they were engaging in more complex and meaningful analyses.

However, a close investigation into Thorne's reading of Raymond Chandler's novel *The Lady in the Lake* (in Freeman, op.cit.:46-47) reveals groundless and impressionistic statements. Thorne's description of the verbal structure of a short passage in that novel is in fact very accurate. He notices that the most frequent occurrences are the words **I** and **and**. He indicates how these words occur in repeated structures [**I** (VP) **and** **I** (VP)]. His interpretation of this fact, however, is subjective⁴⁴. Thorne writes (idem:47):

This highly repetitive style plays a major part in creating the mood of aimless, nervous agitation the passage conveys.

In other words, from a factual linguistic description, Thorne springboards into unjustified subjective statements.

In an influential work to explain deviancy in literary language, Levin (1967) suggests degrees of grammaticalness. He assumes that the two sentences "a grief ago" (D. Thomas) and "he danced his did" (e.e.cummings) are deviant sentences as they would not be generated grammatically. But because of their different degrees of grammaticalness, they produce different reactions in the reader. To Levin, "a grief ago" is more acceptable than "he danced his did".

Epstein (1975, 1981) offers another representative work with transformational-generative orientation. Always restricted to sentence level, he claims that different forms do not necessarily imply a change in meaning. For instance, he compares the following sentences:

a. The geese flew overhead honking.

b. Honking overhead flew the geese.

Here Epstein argues that the content of these sentences is the same, that is, that syntactic transformations do not affect meaning. In his words, "the two lines... mean the same things; that is, they convey the same content" (op. cit.:168).

Fish (1970, 1980:32) would not agree. To him "... it is impossible to mean the same thing in two (or more) different ways". For instance, if we examine Epstein's example, we may notice that the difference of the theme-rheme structure affects meaning. Part of what sentences [a] and [b] are saying is that the theme of [a] is the nominal phrase, whereas the theme of [b] is the verbal phrase. Sentence [a] focuses on the birds, whereas the action and the noise are foregrounded in [b]. Besides, only the context will be able to determine the choice of thematization.

Epstein calls for a double message: a message of content, which relates to the iconic mimesis of the world, and differs from person to person; and a syntactic message, which must be the same to all readers. This form, he claims, guarantees that the content will be transmitted. Epstein's postulations imply the existence of a true meaning perceivable by any reader. Carter & Simpson (1989:2) summarize:

The transformational-generative approach to stylistic analysis is represented in Ohmann (1964, 1966), Levin (1971) and Thorne (1969), and lucidly surveyed in Messing (1971). Stylisticians within this period sought to demonstrate the differences between a poet's grammar and underlying grammatical norms, which are usually seen to be simple kernel sentences in a basic declarative form. A writer's style was thus described in terms of the particular transformational options selected by the writer from the underlying base.

4.3.3.6. Pedagogically-Oriented Stylistics

The main feature here is the application of stylistics to the teaching of language and literature (see Carter & Walker, 1989; see also Appendix VII). Although the objective is "to try and develop in the learner some kind of analytic strategy which he can apply to other instances of literary discourse" (Widdowson, 1975:108) most works which follow this orientation are concerned more specifically with the teaching of language than with that of literature. In a later paper, Widdowson (1984:173) argues for "the use of literature as a relevant resource in the process and the purpose of language learning". Short (1988,1989:6) surveys:

Over the last few years there has been a resurgence of interest in the use of literature in language teaching... Stylistic analysis has been of particular concern to the foreign-language learner as it has been seen as a device by which the understanding of relatively complex texts can be achieved. This, coupled with a general interest in English literature, has led to the stylistic approach becoming more and more popular in the EFL context.

This means that the tendency here is to utilize literature for language teaching rather than to use advances in linguistics to understand literary texts.

Pedagogically-oriented stylistics claims that interpretive skills can be developed from the application of tried and tested language teaching techniques, such as cloze procedure, paraphrasing, summarizing, rewriting (Carter & Long, 1987).

Carter (1988, 1989b) proposes a grammatical, lexico-semantic and textual discourse approach. Like Widdowson (see Chapter 4.1.2), Carter argues for stylistics as a middle-ground between language and literary studies. Thus, his pedagogical practice aims specifically at enhancing "sensitivity to the use of language in literature" (1986:127). He adds:

models should inform the literature class to some degree and that, since literary texts are made from language, the more linguistically principled they are, the more systematic the approach to literary text study (will be).

Pedagogic stylistics has brought attention to EFL students (Brumfit, 1983; Lazar, 1993) and in a sense has developed the work started at the King's College Seminar in 1962 (in Press, 1963), when scholars were debating the place of literature in the EFL curriculum. But so far, as Long (in Brumfit & Carter, 1986:42) reminds us, "the teaching of literature has lacked a consistent methodology for presentation to non-native speakers".

Pedagogic stylistics has attempted to sensitize students to the use of language in literature -- another means to arrive at language awareness. It has helped the students master more structures and uses of English and it has remained mostly on the descriptive level. This thesis represents an attempt to test theory in a learning context. We assume that EFLit students can be sensitized to the aesthetic experience and that they can decide on the poetic significance of a text if they are exposed to a planned and disciplined programme.

4.4. Stylistics and Literature: Towards a Theory for Literary Awareness.

The future of stylistics lies not in the meticulous application of a single descriptive apparatus, insightful though that can be on occasion, but in the eclectic marshalling of observations from all branches of language study and beyond.

M. Hoey¹⁴⁸

4.4.1. Connecting Iser, Fish, and ESL

In Chapter 2.6.2 we have pointed out the relevance of Iser's notion of gaps and indeterminacy to account for the plurality of meaning in literary interpretation. We have also shown the importance of the recognition of indeterminacy for the study of LitAw. In this section we arrive at some further basic presuppositions. Still in line with a phenomenological orientation, which assumes that literature results from a lived experience, we shall consider Fish's contribution towards a description of the reader's response and how this approach can be adjusted to the wider theoretical framework proposed by developments known as the Empirical Science (or Study) of Literature (hence, ESL)¹⁴⁹.

In "Literature in the reader" (Fish, 1970), Fish challenges the self-sufficiency of the text, that is, one of the main tenets of the New Critics. Instead of regarding the literary text as a finished object in print, Fish argued for "the developing shape of that actualization", or how the reader ascribes meaning during the reading process. As a consequence, the focus shifts from the structures of the text to the structure of the reader's experience. With Fish, meaning becomes an event rather than an entity.

However, Fish does not necessarily dismiss the formal properties of the text. On the contrary, he takes them for granted. He insists on the reader's responsibility in grasping and understanding those structures. Thus it is the reader who ultimately decides on the interpretation. The question "What does this mean" is replaced by "What does this do", where **this**, that is, the structure, is presupposed.

Like Iser, Fish agrees that a text provokes a response in the reader and that this response should be looked at closely. However, Fish does not account for the plurality of meaning which Iser accepts. Instead, he proposes a method of literary analysis whereby understanding results from a collaboration between the reader and the text¹⁵⁰.

For the purposes of this thesis, besides a reader-response approach to the text, we also need a theory which can justify its applicability to classroom reality. To this effect, we shall also examine how ESL describes both the reader and the text as parts of a much wider context, that is, as participants in a social system called LITERATURE.

4.4.2. Cracking the Code

The interest of LitAw in reader-response theory derives primarily from two basic notions. Firstly, reader-response theory describes reading as a subject-dependent constructive process, which highlights the relevance of the reader in the attribution of meaning. Secondly, it dissociates the concept of reading literature from the practice of criticism.

Literary studies are not only the discussion of the body of works written on isolated texts or authors, but also extend to how texts are made meaningful. If, according to Sinclair (1985b:18), "the purpose of a literary text is to secure from its readers a complex, evaluative interpretation", we must investigate how readers in general arrive at these interpretations.

In trying to organize the world, the individual resorts to regulatory devices that will provide a coherent framework of reference. Both in reading and in criticizing this activity involves assertions about the individual's judgement of people, objects or state of affairs through language (Tsui, 1986).

The evaluative activity can be signalled in the text by means of the choices of lexis and grammatical structures, or by the organizational structure of the discourse (Sinclair, 1986; Hunston, 1989). Bolivar (1985) distinguishes between evaluation in language and evaluation in text. In the first case, language is used to report one's experience, opinions, or feelings; in the second case, it is a means of shaping the discourse -- or, in Hunston's terms (1989:384), evaluation provides "contribution of meaning" and a "contribution of organization".

Evaluation thus establishes what the person thinks about his/her report (Tadros, 1981). Although signalled in the discourse, evaluation begins and ends with the individual. Bolivar (1985:348) concludes:

Evaluation is a primary activity in human interaction. We are constantly making evaluations of all types, in different situations, for different purposes.

In other words, evaluation is an essential individual characteristic. It is the person who feels compelled to launch the action for some purpose but it is also the individual who decides to terminate this action when satisfaction is considered achieved. Therefore, evaluation is subject-dependent.

It must be clarified that subject-dependency does not necessarily imply subjectivity, as some trends in reader-response theory sustain (cf. Bleich, 1975, 1989; Holland, 1968, 1975). Whereas subject-dependency only presupposes an individual's experience, or one's perception of linguistic structures in a text and the affections that result from one's actions, subjectivity accepts anecdotal and solipsistic interpretations. Culler (1975:128) suggests that "any readings which seem wholly personal and idiosyncratic" must be excluded.

The equivocal borderline between subject-dependency and subjectivity may have been responsible for Culler's (1981,1983:127) criticism of Fish's reader-response approach. In Culler's words,

Meaning is not an individual creation but the result of applying to the text operations and conventions which constitute the institution of literature. A misplaced desire to praise man as the originator of meanings can only hamper the attempt to explain how these meanings arise.

Culler's argument, however, is undermined by his own choice of syntax. His use of **applying** is ambiguous. It is the object of a preposition but it also presupposes an

agent. Someone must be responsible for the application. Meaning is not a self-generated phenomenon. If someone **applies** operations, this person is initiating a process. Therefore, interpretation may not be subjective, but it is subject-dependent.

Literary evaluation is an activity that individuals perform in order to describe and organize the knowledge they derive from their reading experience (Martin, 1989). Questions like "What is this text about? What do you think is the point of this story? How do you feel about it?" can be answered by anyone who has read the text. Here, we are not discussing the merits of the evaluation but only the possibility of performing it.

Literary criticism, however, is more complex. Criticism systematizes and regulates public models for texts or genres, builds author and genre models, restates text-world models, that is, takes construed models as the content of a literary text, and evaluates literary texts according to some specific standards (de Beaugrande, 1983; Fowler, 1986b: 36; see also Chapter 4.1.2).

Adding to the complex activities involved in literary criticism, the critic may turn not only to an external object but also to the mechanisms of evaluation themselves, that is, a metatheoretical activity can be developed. In other words, literary evaluation may be performed by any reader, regardless of his/her status as student or as scholar. Criticism, on the other hand, depends on sophisticated mechanisms and involves metatheoretical knowledge.

All critics are readers but not all readers are literary critics. This statement carries at least three assumptions. First, that the beginnings are the same for all the participants. Any evaluation or criticism must involve the reading of the text as an initial stage. It is the level of this initial stage that varies. Secondly, meaning is constructed from the reader's contact with the text. Reading is a personal experience and responsibility cannot be transferred. We are here arguing, for instance, against those publications which intend to tell students the meaning of a certain play, novel, etc. Lastly, we would like to make clear that evaluative and critical texts are constructs of experiences of one's readings. Texts are rationally organized so that they can transmit this experience to other individuals. Hence, any textual interpretation whether evaluative or highly critical must be regarded only as another reading.

The reason for the confusion between evaluation and criticism derives from the fact that a literary critic's interpretation is a construct which poses as a model¹⁵¹. Authority is derived from several sources, five among which may be pointed out:

1. Critics are more knowledgeable, that is, they have more experience in the area and, consequently, start their reading from a more solid and denser stage.
2. It is expected that part of the critic's job is to organize and control the literary system.
3. Critics can influence the mechanisms of criticism.
4. Critics publicize their readings and thus construct a history of publication.
5. Critics cite each other, thus dispensing or removing authority.

These among many other reasons have led critics' interpretations to have been traditionally considered the correct rendering of a text. We would like to argue for a change in direction. Due to the fact that readers generally do not have direct access to the actual writer (and even if they did, it would not make any difference), readers can only assume what this writer intended to mean. Thus, all interpretations are constructed models built upon assumptions from the text.

In other words, critics' interpretations are not better models of reading¹⁵². Because critics are more experienced readers, they may establish an interpretation in a more convincing way. But this does not invalidate the rights of naive (de Beaugrande, 1987) or of non-native readers¹⁵³. The focus of our study must therefore shift from the meaning ascribed to a text to the process of reading.

The effects on the teaching of literature are fundamental. Critics or teachers are no longer regarded as dispensers of truth but as builders of more sophisticated readings. Like

any other account, theirs can also be subjected to examination and evaluation by the students. Teaching literature becomes a more democratic activity oriented towards each reader's cognitive response. de Beaugrande (1987:168) indicates how naive readers may produce a broad spectrum of readings which may have never occurred to the teacher. In this article, de Beaugrande reports on an experiment carried out with undergraduates at the University of Florida. In collecting his students' responses to three poems, de Beaugrande concludes that "instead of 'anarchy', the overall result was a clustering around the more plausible readings and a fading out toward the marginal one". It is much better to have the student attempt an interpretation than to have him/her memorize and report on what someone else believes the poem to be.

If the argument for a reader-response oriented option proves to be strong enough, Fish' advice (1976:194) will have been followed, namely, that "criticism is a code that must be cracked rather than a body of straightforward reporting and opinion".

4.4.3. Stanley Fish and the Reader-Response Theory: Going Back to the Beginnings.

The late seventies and early eighties witnessed the shift in the field of literary criticism from the New Critics' belief in the possibility of one's finding the true meaning of the text -- a task they attributed to the critic -- to the fundamental role of the reader in the construction of meaning and interpretations.

The contemporary focus on the reader has yielded a voluminous body of critical work (cf. García-Berrio, 1989,1992), which Mailloux (1982) classifies into three main strains: the phenomenology of Gadamer, Jauss, and Iser; the subjectivism of Bleich and Holland; and the structuralism of Fish and Culler. The first group is more philosophically oriented, following the works of Husserl and Heidegger; the second group has more affinity with psychoanalysis; and the third group is more text-oriented.

As LitAw assumes that interpretation derives initially from the reader's response to linguistic patterns in the text, Stanley Fish's theory seems to be a very appropriate model for a description of reading literary texts.

However, abiding by Fish requires precaution. One must always specify which of his theories one is referring to. Fish reviews, revises, and responds to criticism, which by now amounts to an active and exciting history of critical debates. His initial reader-response theory described in "Literature in the Reader" (1970)¹⁵⁴, for instance, has been replaced by his concept of interpretive communities. Since a comprehensive survey of the works by Fish and about him is outside the scope of this thesis, we will limit our discussion to the author of the concept of "affective stylistics", the subtitle of his 1970 article. Here Fish holds that meaning is ascribed by the reader in the act of reading¹⁵⁵.

One of the reasons why Fish has revised his concepts stems from his fear of being taken for a formalist. In a later publication (Fish, 1973), Fish insists that formalists are uncomfortable with the notion of pluridimensionality and therefore constantly attempt to escape the flux and variability of the human situation by paying an overly detailed attention to the linguistic fact. Fish warns against what he considers the dangers of formalism. He notes how in some works a detailed collection of observable data is gathered, but when the time comes for the interpretation, the critic is either non-informative and circular or as arbitrary as the impressionist approach s/he has been avoiding. In his usually ironic tone, Fish (in Freeman, 1981:55) illustrates this point:

One might conclude, for example, that Swift's use of series argues the presence of the contiguity disorder described by Roman Jakobson in *Fundamentals of Language*; or that Swift's use of series argues an anal-retentive personality; or that Swift's use of series argues a nominalist rather than a realist philosophy and is therefore evidence of a mind insufficiently stocked with abstract ideas. These conclusions are neither more nor less defensible than the conclusion Milic reaches, or reaches for (it is the enterprise and not any one of its results that should be challenged), and their availability points to a serious defect in the procedures of stylistics, the absence of any constraint on the way in which one moves from description to interpretation, with the result that any interpretation one puts forward is arbitrary.

Fish concludes (idem:65):

...many stylisticians treat the deposit of an activity as if it were the activity itself, as if meanings arose independently of

human transactions. As a result, they are left with patterns and statistics that have been cut off from their animating source, banks of data that are unattached to anything but their own formal categories, and are therefore, quite literally, meaningless.

In other words, Fish repudiates formalism by arguing that a detailed analysis of textual data does not guarantee a substantiated interpretation. To him, features of a text cannot be considered in isolation from the reader's perception of the entire text nor from the linguistic context which regulates the interpretation.

To avoid the arbitrariness of formalism, which he claims does not connect description to interpretation, Fish calls for an "affective stylistics" (Fish, 1970), and for one's shifting the focus from the spatial context and observable patterns to the temporal context of the mind and its experiences. In Fish's understanding, the reader acquires knowledge as the reading progresses. Later (1980:3-4) Fish would explain his initial postulation:

My contention was that in formalist readings meaning is identified with what a reader understands at the end of a unit of sense (a line, a sentence, a paragraph, a poem) and that therefore any understandings preliminary to that one are to be disregarded as an unfortunate consequence of the fact that reading proceeds in time. The only making of sense that counts in a formalist reading is the last one, and I wanted to say that everything a reader does, even if he later undoes it, is a part of the "meaning experience" and should not be discarded.

At this point, however, Fish ran into problems. Any close examination of his practical demonstration will reveal a series of assumptions which are not necessarily sustainable¹⁵⁶.

To illustrate experiential analysis, Fish offers unusual readings of canonical poets, Milton, in particular. Fish suggests that the ambiguities in the 17th century poet are to be left unsolved. Due to the fact that he does not probe deeply into the linguistic context, Fish is not able to describe certain structures. Hence he concludes that a reader may come to an impasse when the line slips out of the reader's control (Fish, 1976a).

We will argue against this insoluble impasse and for the existence of virtual structures, or the acknowledgement of the potential of possible linguistic realizations which can only be grasped at in the act of reading. If a poem does not aim at solutions, as Fish asserts, it does not end in uncertainties either. Uncertainties result from failure of attempts to find satisfactory solutions. The poem, however, remains as a world of multiple possible realizations. Like the duck-rabbit figure (see Figure 2.3), the reader may close one structure and see the duck or close the other and see the rabbit, but the tension in the figure still remains. When this figure is mentioned, three interpretations spring to mind -- the duck, the rabbit and the duck-rabbit figure. Virtual structures, therefore, accommodate the concept of ambiguity.

Acceptance of virtual structures and closer linguistic investigation would remove some of the fallacies Fish falls into. Take, for instance, his analysis of the following lines in "Comus":

**Bacchus that first from out the purple grape,
Crushed the sweet poison of misused wine.**

Here Fish claims the reader will be anticipating a negative judgement on the word "wine" because of its association with Bacchus. This association is external to the text. In fact, the text imparts negativity to Bacchus not by referring to the external world but by means of linguistic choices. Bacchus **crushes** the purple grape. **Wine** is neutral and remains

in suspension. The context offers a **virtual structure** (cf. also Nisin, 1959), revealed in the paradox **sweet poison** and in the expression **misused** ("well-used" by implication). Therefore, Fish's argument in favour of negotiation of meaning is weakened for two reasons. Firstly, the reader does not necessarily have to make a judgement over **wine** and then transfer it to the "abusers of wine", as Fish claims. Secondly, even if the reader does not undergo the same experience as Fish did, s/he does not have to "take a position on one side of a continuing controversy" (Fish 1976b:163). Here Fish seems to be asking the reader, much like a formalist would do, to **close** a structure, that is, the one he sees, before moving "into the links that follow".

We suggest that even if a reader's associations differ from those of Fish, he or she may arrive at a very similar synthesis, as the structures in the text will control the possibilities of interpretation. So, Fish's illustrations of valid interpretations must be carefully examined to avoid contradiction, vagueness, or subjectivity.

Due to the fact that he could not explain the connection between the text and the reader in a convincing way, and inclined to avoid the subjectivist slant, Fish unfortunately opted for a denial of the text in a later work (Fish, 1980). He moves away from his initial suggestion that words trigger responses in the reader's mind to the notion that only the interpretive strategies ascribe meaning. Later he would write (op. cit:7):

The argument in "Literature in the Reader" is mounted (or so it is announced) on behalf of the reader and against the self-sufficiency of the text, but in the course of it the text becomes more and more powerful, and rather than being liberated, the reader finds himself more constrained in his new prominence than he was before.

Fish renounces the actual reader for "interpretive communities" (1976a), a shared system of rules that speakers of a language have internalized. He abandons the actual individual reader's attempt to cope with the text for an abstract entity which, he suggests, will guarantee consensual interpretation. As McCormick (1985:73) rightly notes,

Fish's theory of interpretive communities attempts to de-energize the reading process and must be seen as the *reductio ad absurdum* of his original anti-formalist stance... The reader, according to Fish, does not interact dynamically with the text; she simply imposes her interpretive strategy on it.

In reformulating his initial claim of interpretation as an event where the text places constraints on an actual reader and in resorting to an entity removed from the event itself, Fish comes closer to the Formalists than he would have accepted. Had Fish attempted to refine and not renounce, his affective stylistics might have contributed more effectively to the process of how a reader ascribes meaning to the text.

In addition, Fish's change of direction provoked a series of reactions. Mailloux (1976) accused him of collapsing the distinction between reading and critical strategies, which had been Fish's original contribution. Bush (1976:182) added:

Formalists assume a degree of intelligence in readers; Mr. Fish seems to assume that they are mentally retarded and must have every idea laboriously spelled out, as if their minds moved in unison with their lips.

In arguing back, Fish gets farther away from the text. He points out he intends "to make available to an analytical consciousness the strategies readers perform" (1976b:192) and that "it is a question ... of whether one's critical model is spatial or temporal". Fish, however, had not been discussing a critical model at all but a strategy of reading. What he did

not realize was that the strategy of reading is **both** spatial, that is, performed linearly, **and** temporal, that is, it involves accumulation of knowledge.

Fish's "sin"¹⁵⁷ of abandoning his initial theory instead of refining it is eventually "surprised by" Culler (1981,1983:130), who claims that Fish's reader "never learns anything from his reading". Culler (1975:130) writes:

In poem after poem he starts off with the expectation that the categories or distinctions proposed at the beginning of sentences or of texts are going to be preserved, developed, made essential; and time after time he is surprised, discomfited, demoralized to discover that they are destroyed. Time after time he is chastened and purified by the experience which forces him to abandon intellect. In any empirical case such experience would create new expectations; he would anticipate that self-destructive movement of the next poem and would read it as fulfilling his expectations.¹⁵⁸

In other words, Fish's reader never learns, never incorporates the internal norms of the text or the experience of a certain reading. After all, when reading a second or third sonnet by Milton, the reader would necessarily have been led to expect a repetition of the pattern he or she had experienced in the first place. Instead, Fish's naive reader is invariably resorting to the same interpretive strategies.

This is why the Fish of affective stylistics has more to offer to LitAw than his later "developments". His focus on the reader's responsibility to make sense by following a linear sequence has been fundamental for the separation between awareness and critical practice. What the early theory lacked was, as Culler (1981,1983:131) notes, "an investigation of reading as a rule-governed, productive process".

Summarizing, Fish acknowledged that in reading a literary text one modifies one's first impressions when re-reading takes place. However, he disregarded many other factors, such as scanning (which can also bring anticipation), organizing expectations and recollections hierarchically, and perceiving the text both spatially and temporally. As regards LitAw, his contributions have been threefold. Firstly, Fish connects awareness and experience, which he presents as theory without an elaborate theoretical apparatus. He shows how one may dissect a piece endlessly, but that each reading remains a new experience. Here, his postulations coincide with one of the main aspects of LitAw: the pleasure of re-experience. Secondly, he stresses the rights of the general reader against the claims of the professional critic. Thirdly, he holds that reading is an active and creative process rather than a state of passive receptivity.

In his description Fish does not point out many factors that are involved in the process of reading literary texts, such as purpose, function, time, or circumstance. These factors may trigger relevant questions: where is the person reading -- at the dentist's, at home, in a classroom? Why is he or she reading -- for enjoyment, for information, for a test? How much time has been allotted for the reading? What is the person's previous experience? etc. Moreover, other elements which affect the reading process are not considered as well -- for instance, the price of the book, its binding, place of purchase, etc. These are some of the questions the theory of ESL tries to account for. In the next section we shall discuss how ESL places the description of literary understanding and analysis within a wider framework. According to this theory, literature is regarded as a system within the social network to which the individual belongs. Literature is thus a cultural construct designed to serve people. In this sense, ESL follows a pragmatic inclination where utility and function legitimize the text.

4.4.4. ESL and the Literary System -- A New Code?

In this section we shall examine whether the ideas advanced by ESL can be considered a breakthrough in textual interpretation and in what ways ESL can contribute with theoretical support for LitAw.

Like Fish, ESL holds that text-meaning is not an intrinsic property of the physical text and that meaning is created in the process of response. Its main shift has been from text to text-focusing activities, from structures to functions and processes, and from the literary object to a literary system. Hence, LITERATURE¹⁵⁹ is more than a collection of texts. It is an event requiring participation of the elements involved in the process.

The movement began in 1973 with the NIKOL research group at Bielefeld University (S.J. Schmidt, P. Finke, W. Kindt, J. Wirrer, R. Zobel). In 1980, research continued with a new NIKOL group at Siegen University (S.J. Schmidt, A. Barsh. H. Hautmeier, D. Meutsch, G. Rusch, and R. Viehoff). In December 1987, the first international conference for ESL was held.

What ESL proposes is a "new" paradigm where the literary work is seen in the entire field of social interactions. Schmidt (1989a) summarizes the main assumptions:

- elements of a scientific terminology are introduced in a teachable and learnable manner by means of various methods (e.g. explicit definitions, examples, etc.)
- the basic model of the theory is specified as literary actions, not as literary objects.
- values are adopted from radical constructivism for its epistemology, and from constructive functionalism for its metatheory (Glaserfeld, 1983:209).
- empirical studies of social actions are carried out in a system called LITERATURE.
- the line of demarcation between the literary system and other social systems are the macro-conventions of aesthetics and polyvalence (i.e. plurality of meaning).

Deriving its framework from a constructivist theory of cognition, ESL involves epistemological, methodological, ethical, and applicational aspects which may accommodate Fish's theory and provide theoretical support for LitAw.

ESL is still in the making but can already list a significant number of publications (mostly in *Poetics*). Here we only refer to some of the studies the group has published in English. In addition, due to the complexity of the descriptions and the highly elaborate theoretical apparatus (mainly in Schmidt, 1982), this thesis will only concentrate on a few of those aspects that may be relevant to LitAw.

Schmidt has claimed the status of a breakthrough for ESL. However, we believe that any new development is what we take it to mean -- namely, a continuation, perhaps a reorganization, of already existing theories. In fact, ESL promotes an interdisciplinary clustering of various theories. It is a metatheoretical description combining structuralism, constructivism, and reader-response theory with cognitive psychology, biology, sociology, and anthropology, among other disciplines, and maintains a strong inclination towards application.

In order to explain the reading phenomenon, ESL argues that perception does not take place in the sensory organs. Instead, it is the brain that "sees" and "hears". Influenced by studies in biology, Schmidt (1989a:320) writes:

Perception has to be modelled in terms of attributing meaning to neuronal processes that, as such, are meaningless, i.e., perception is construction and interpretation.

There have been many studies on the constructivist approach to reading (Spivey, 1987). Corroborating with our notion of a continuum, what constructivists did in fact was to resurrect the work of British psychologist Sir Frederic Bartlett who, in *Remembering: A Study in Experimental and Social Psychology*, proposed that the process of recall depended

on previously existing knowledge structures (cf. Chapter 2.6.1) and operated in a "well-organized organic response" (Bartlett, 1932:201).

According to Spivey (op. cit.), constructivism postulates the following:

- Reading is an organized structure which involves causal and spatial networks, goal hierarchies (that is, plans and actions carried out by the reader), and taxonomic hierarchies (that is, the reader's organization of entities, concepts, and categories that are normally captured in the text).
- Reading is making mental connections between textual cues and previously acquired knowledge.
- Reading is both a top-down (knowledge-driven) and a bottom-up process. Textual cues trigger mental pictures but former knowledge may also influence readers to expect and look for specific patterns.

Although concerned with the common reader, constructivist theory has not been significantly applied to the reading of literary texts. Miall (1990:326) comments on the few investigations carried out so far and concludes that "studies of the actual process of reading literary texts are rare as opposed to elements of the process, or the after-effects of reading". Vipond & Hunt (1988, 1989:155) point out:

On the psychological side of the divide... there has been concern both with hard evidence and with the "ordinary" reader. The problem rather is that the texts used in traditional psychological studies have not been literary texts at all, but have been instead the sort of pragmatically truncated fragments that Hunt (in press) terms "textoids". It may be that such materials are used for legitimate control reasons, but they have the effect of ruling out genuine literary experience from the beginning.

In other words, the literary experience of non-expert readers has not been the object of much attention. In suggesting that constructivism has changed theory and research in reading in general, Spivey (op.cit.:184) regrets:

... reading research to date has been limited: it has focused on material, tasks, and contexts (e.g., rather brief texts often read in a controlled setting) that do not yet have the richness or complexity of those that people experience in their daily lives.

Based on constructivist studies ESL proposes to fill this gap. Much before Vipond & Hunt or Spivey, Schmidt (1982:78) had already noticed the problem, now in relation to literary theory and the common reader. He writes:

Unfortunately, empirical research on the affects of the aesthetic convention upon literary receivers are still rare. All too often, studies about "the reader" of literature are based upon the activities of the aesthete or critic doing the investigation, e.g., the "superreader" of Michel Riffaterre (1971), or the "implicit reader" of Wolfgang Iser (1974; 1978). Most of our data is an assembly of introspective statements by professional post-processors of literature.

In other words, he proposes studies that will focus on the process that common everyday readers undergo when reading literary texts rather than on more accounts of critics' readings. This concern coincides with the objectives of LitAw.

The ESL paradigm for the theory of literature adopts a pragmatic perspective, that is, ESL values the function of the text in the social system. Schmidt defines poetics from an ESL point of view. He writes (1983c:248):

While non-empirical conceptions of literary studies and the theory of literature still identify (in practice) literature with literary texts, the Empirical Theory of Literature ... defines "literature" as a social system (=LITERATURE-System); that is, texts are no longer regarded as autonomous entities but always in relation to those actions which are necessarily performed by agents within the system of literature. As a result of this general orientation toward action, we obtain a model of literature as a social action system, which can be *structurally* defined through the causal and temporal relations between four primary action roles: the roles of producing, mediating, receiving, and post-processing those actions, objects, or events which are *considered literary* by agents according to the norms of poetics internalized by the agents.

The system of aesthetic communication thus comprises the following acts and roles:

Acts	Roles
production	authors, etc.
mediation	books,publishers,etc
reception	readers, etc.
post-processing	critics

As regards interpretation, ESL follows a reader-oriented criticism. Hence, interpretation results from a relationship between two elements -- the work and the reader where the reader is seen as an active, goal-oriented, creative participant in the real world (Flower, 1987). As reader and work meet, the reader creates a text. Fish's reader-response theory is then compatible with this system.

However, there is nothing new in relation to the distinction between text and work. For instance, Barthes (1971b) described the difference between the physical object (**Work**) and the reader's construction of meaning during the act of reading (**Text**). What Schmidt proposes is a re-glossing and a conflation of the definition. Text then is not construction of meaning but the physical object materialized in a certain medium. The process oriented towards the text is the KOMMUNICAT, which includes the individual's affects, cognitive capacity, situational context and relevance of the text to this individual (cf. also Viehoff & Meutsch, 1988, 1989). He writes (1983c:247):

... individuals assign propositional structures to texts within their cognitive domain and within a communicative situation; these structures are always *emotionally* determined and rated in respect to their *relevance* to one's practical concerns. The assignment of communicates to texts is performed via *conventions* which make possible and stabilize a *consensus* among the interacting systems.

In other words, reading is a social event which involves the reader's needs, motivations, interests, and past experiences. This definition, however, seems to have started *in medias res*. How do individuals construct the propositions to begin with? We believe that emotions and conventions are not enough to cover the genesis of the process. Although

Schmidt has made Barthes's concept more comprehensive, what seems to be missing are the linguistic patterns the individual perceives in the text which will trigger cognition, emotion, etc.

ESL also supports the already well-known concept that literariness is attributed relationally. Meaning is not in the text because it is subject-dependent. Viehoff & Meutsch (1988,1989:3) point out:

... in the process of producing, mediating, receiving, and post-processing texts, socially interacting agents assign literariness to materially given sets of texts.

In addition, we must clarify Schmidt's arguments against theories of understanding built on models of interaction between the text and the reader. Indeed, he qualifies them as "implausible" (Schmidt & Groeben, 1988,1989:31). To account for these theories, however, he resorts again to biology and because "the neuronal system is able to interact with its own states", "self-consciousness is developed" (idem, ibidem). Consequently, when we say "Do I understand this book?" the question implies that the interaction has been transferred onto an internal level. We may call it the Ego and the Alter, or, in the case of this thesis, the reader and his/her projections (see Chapter 5.1.3). All these concepts assume that a simulated dialogue does occur. Schmidt does not deny this phenomenon. He suggests that instead of considering it a communicative act, it should be regarded as a KOMMUNICAT-construction-process.

There is still much controversy in the area of ESL. One of the debates has been published (Schmidt & Groeben, op.cit.). In this article, Groeben, a more sociologically-minded theoretician, accuses Schmidt (whose theories are biologically-oriented) of abstaining from evaluating the correctness of an interpretation. Schmidt defends himself by confessing that his notion of validity actually derives from Fish's concept of interpretive communities. In other words, he accepts consensual meaning as a touchstone.

The KOMMUNICAT is indeed a detailed account of how meaning is assigned but it does leave out evaluation. To Groeben, consensual meaning is a mere matter of voting. We would suggest that there are three issues at stake here. First, that evaluation cannot be disregarded. It is an innate characteristic, as discussed above. Second, both critics assume that interpretation must be decided on a true/false basis and that the issue of competence is involved in interpretation (see Chapter 5.2). Third, they dismiss textual features as justification for an interpretation. Groeben does make this suggestion (idem:37), but he claims for universally describable features and not for those that the text creates.

Nevertheless, from a LitAw perspective, ESL's most fundamental contribution is its praxis-oriented conception of literary scholarship. Schmidt writes (1989a:325):

...it is not enough to produce more knowledge about literary texts. Literary scholars must produce empirical knowledge about all aspects of literary systems, which may serve as a basis for activities intended to optimize the literary system.

Despite its comprehensive scope, this statement supports the notion that pedagogical applications are also objects of scientific investigation. Theory must turn to practical application for validation (cf. Firth, 1968a).

The main drawback of ESL is that it seems to accommodate not only Fish's but nearly every modern theory that has been brought to light -- with the exception of those which support the notion that meaning is a textual property. For instance, ESL makes room for the formalism Fish rejected so vehemently. Linguistic data are considered compilations for "presuppositions of a rational discussion" (Schmidt 1983c:253). Moreover, psychoanalytical approaches, included in what ESL calls subjective responses, fall within the scope of "literary-erotic mode of action" and are reglossed as "subjective protocols verbalizing the

reception of non-professional literary post-processors" (idem:254). This implies that personal, informal and uncompromised accounts are acceptable if considered as performances of common readers, that is, the "non-professionals".

Here we would like to question the notion of professionals. What does it mean to be a literature student? Is it not a profession?¹⁶⁰ On the other hand, are Bleich and Holland non-professionals? Are their responses "literary-erotic" models? Groeben's arguments above are true. Schmidt abstains from evaluating and compromising. In this specific case, he pleads for the right of literary erotics to co-exist with what he calls "literary-rhetorical behaviour".

4.4.5. Theoretical Presuppositions for LitAw

The affinity between Fish and ESL goes beyond Schmidt's (1983c) quoting from *Is There a Text in this Class* as support for his theory of consensual reading. Both critics distinguish between the role of the reader and that of the analyst. Both emphasize the need for research into how the former assigns meaning to texts. In this sense, both also agree that a critic's interpretation is to be regarded as another, although more accountable, reading but not as a model.

In brief, by combining some of the ideas forwarded by Fish with some of those proposed by ESL, LitAw may be able to rely on a theory that:

- is based on experiential knowledge rather than on scientific truth.
- supports argumentative participation rather than data-driven truths, that is, that privileges plausibility.
- focuses on the reader as an agent.
- does not deny the reality of the text as a physical object.
- considers the linguistic features of the text.
- favours the study of reading strategies.
- investigates how non-expert readers may develop expert strategies.
- regards reading literary texts as a structured activity.
- takes into account the reader's predispositions.
- is not normative or prescriptive, i.e., that suggests rather than instructs.
- fosters empirical methods, that is, that accounts for the fact that practice can stimulate and even precede theoretical understanding.
- considers the social implications of a pedagogical orientation.

Our current investigation into LitAw attempts to describe both empirically and theoretically readers' responses to literary texts and their use of textual features as support for their arguments. Hence, our notion of LitAw takes into account the text itself, the reader-text interaction, the cognitive processes of understanding, and the contextual (both linguistic and sociological) cues that influence the process of understanding. Following some of the theoretical presuppositions of ESL, LitAw has social implications. It must consider how to carry out action into educational institutions.

Notes

CHAPTER 5

LITERARY AWARENESS AND THE READER

5.1. A Model of Reader for LitAw

... il ne faut pas oublier que la théorie est faite pour faciliter le travail pratique, et qu'elle est née d'un besoin pratique.

L. Hjelmslev¹⁶¹

5.1.1. The Need for a Model

This chapter puts forward a model of the reader which may be relevant to the teaching of EFLit. Most descriptions take for granted the linguistic competence of the reader - a fluent speaker of the language the text has been written in. EFLit studies have had little influence on the models developed so far. Studies of interpretive communities may have drawn attention to cultural differences (Fish, 1980; Culler, 1975), but do not take into account linguistic proficiency. In fact, Wallace (1992) points out that one of the advantages of L2 readers is exactly the fact that they are never the text's model readers. She claims the advantage of this position is that it allows them to exploit the text as outsiders.

Since this thesis aims at finding ways of sensitizing EFLit students to the literary phenomenon, a re-assessment of some of the influential descriptions of readers offered so far is necessary. In the following sections seven significant models are briefly presented, covering a period of more than twenty years of study. Although theorists constantly disagree on who the reader is, whether real or ideal, these seven models share in different degrees the basic assumption that meaning is not an exclusive attribute of the literary text. In other words, they differ in relation to the importance they place on the reader and the text but they accept that both are necessary for meaning making¹⁶². The EFLit model will also find a place for the writer.

5.1.2. Some Models

Fish (1970) describes the **informed reader**, a "hybrid" made of a real reader and an abstraction, who contains all potential responses an individual may have to a text. He writes (idem:48-49):

The informed reader is someone who (1) is a competent speaker of the language out of which the text is built up; (2) is in full possession of "the semantic knowledge that a mature... listener brings to his task of comprehension", including the knowledge (that is, the experience, both as a producer and comprehender) of lexical sets, collocation probabilities, idioms, professional and other dialects, and so on; and (3) has *literary* competence. That is, he is sufficiently experienced as a reader to have internalized the properties of literary discourses, including everything from the most local of devices (figures of speech, and so on) to whole genres.

This means that Fish's reader must be a mature, self-conscious person who is linguistically competent. More than that, this reader must be both a linguist and a literary expert. It does not require too much effort to realize that this ideal reader is very distant from the EFLit classroom reality.

Later Fish develops a different model (Fish 1976a). His concept of **interpretive communities** holds that the reading experience results from a set of interpretive assumptions a certain community may share. In fact, he claims these assumptions are responsible for interpretive strategies which become effective even before the act of reading is initiated. Shifting from the role of the reader to that of the writer, Fish stresses that it is actually the act of writing that is determined by the assumptions shared by a community. Writing thus predetermines the reading.

Influenced by Chomskyan linguistics, Fish believes in a homogeneous speech community. He ignores differences in culture, age, or education and assumes that there is a basic primary level in which every native speaker shares the same linguistic system. In retrospect, Fish (1980:5) comments that "if the speakers of a language share a system of rules ... each of them has somehow internalized, understanding will, in some sense, be uniform".

This model is not adequate to EFLit classes, where neither is linguistic knowledge uniform nor are the cultural assumptions held by the writer and by the community of students. Fish may contribute to a LitAw programme in other areas, as discussed in Chapter 4.4. His model of reader, however, cannot be adjusted to an EFLit situation.

Much before Fish's interpretive communities, Riffaterre developed the notion of the **average reader**, or **super-reader**, a group of preferably sophisticated informants (among them critics, translators, students, that is, inhabitants of his academic world) who react to certain linguistic stimuli (the "stylistic facts") in a text (1959:165).

Riffaterre claimed that the way the majority of these sophisticated readers read determine the "correct interpretation". His model is a statistical and a *post factum* concept. One only knows what "the correct interpretation" is after a consensus of the majority has been obtained.

Pedagogically, Riffaterre's model is not adequate to an EFLit situation. It does not stimulate independent production. Instead, students must conform to the authority of scholars and are expected to turn out interpretations which coincide with those previously established -- a common practice in traditional classrooms (see Chapter 7.1.1).

Later (1978), Riffaterre revises his model by changing this statistical orientation and concentrating on the process of making sense. He develops a theory of reading which has two moments. In the first moment, the reader grasps the referential or mimetic meaning. Here, Riffaterre notes that difficulties in reading will arise due to what he calls "ungrammaticalities", or incompatibility of reference. Illustrating this concept with Rimbaud's poem "Fêtes de la faim" (among others), Riffaterre shows how the reader deals with the persona's claim of having to feed on air, rock, soil, and iron. Riffaterre argues that on a literal level, the poem makes no sense.

In addition, difficulties in understanding derive from the phonological, metrical, and rhetorical patterns which are prominent in a poetic text and which do not have referential meaning.

The second moment, then, results from the necessity the reader has of performing a retroactive, or hermeneutic, reading to remove the obstacles from the initial mimetic reading. This strategy leads the reader to the discovery of **hypograms**, or the collection of references a sign acquires from its past semiotic and literary practices. These, he claims, are set into a matrix. Once the matrix, or kernel sentence, is established, harmony is arrived at. Like the pursuit of a main proposition from which everything else in the poem generates, the matrix is the key to the interpretive puzzle. Once found, the puzzle is solved. Riffaterre (1978:19) writes that "The poem results from the transformation of the *matrix*, a minimal, literal sentence, into a longer, complex and non-literal periphrasis".

In most of his writings, Riffaterre affirms that the text exerts complete control over the reader. He states (idem: 21):

Because of the complexity of its structures and the multiple motivations of its words, the text's hold on the reader's attention is so strong that even this absentmindedness or, in later eras, his estrangement from the esthetic reflected in the poem or its genre, cannot quite obliterate the poem's features or their power to control his decoding.

This means that the force the text exerts over the reader is so strong that the stylistic devices will not be overlooked or disagreed upon. They are facts the writer lays out and over which the reader will necessarily stumble.

In sum, Riffaterre believes the text has objective and invariable stylistic facts. As if it were possible, he suggests that once the information is gathered and cleansed of its psychological and cultural bias the stylistic device can stand in a neutral state. Only then is an interpretation established and, consequently, transmitted. This statement has by now been widely disclaimed by post-structuralists (Barthes, 1974; Derrida, 1978)¹⁶³.

Culler (1981,1983), also a structuralist, criticizes Riffaterre's hypograms and matrices, which he calls a reductionist approach. In addition, he doubts all readers will find the same matrices. Culler counterargues using Riffaterre's own examples. He points out that the readers of Rimbaud and Gautier, whom Riffaterre cites, were "neither absentminded nor ignorant" (idem:94-5). And yet they failed "to shift from mimesis to semiosis" (idem, ibidem). That is, they did not notice the repetition of matrices. Culler shows that all is well to Riffaterre as long as other critics' readings agree with his own.

Toolan (1990:38) sides with Culler. He sees Riffaterre's change of perspective with irony. He comments that "Riffaterre's reader is no longer either super or average, but more like an ill-disciplined child with weak powers of concentration".

Culler tries to settle the discussion explaining that the failure to transfer from mimesis to semiosis, that is, to perceive hypograms, is a matter of conventions of reading rather than an inexorable textual force. Here de Beaugrande reminds us of the difficulty of setting the boundaries for lines of action between the text, the reader, and the writer. He points

out that the extent to which real readers "are actually under the control of the text is a question still widely evaded" (1987:146).

According to Riffaterre, the real reader's response is to be regarded only as a detecting tool, not as an element constitutive of meaning. He stresses that the "once widely conflicting values" have to be "weeded out" (1959:166) before an interpretation is established. Riffaterre is in search of a harmonic and homogeneous world. He is cautious about individual responses lest they may result in "pulverization of the structure" (idem, *ibidem*).

It is interesting, though, that Riffaterre's model should presuppose an initial stage of individual perception. By referring to the saying "No smoke without fire" (1959:162), he implies that someone must detect the smoke first. He writes (1958:476):

Il n'y a pas de fumée sans feu: corrects ou non, les jugements de valeur d'un lecteur sont causés par quelque chose qui dans le texte l'accroche; ils peuvent bien correspondre à des systèmes qui n'existent que dans son esprit, mais le fait qui déclenche la réaction est là.

In other words, an individual or "informant" reacts in a certain way because a certain stimulus in the text has triggered this reaction. Implicit, then, is an acknowledgement of the individual reader's role in the perception of a structure. Hence, one cannot dismiss the first moment of the process when the individual reacts even within a limited range of possibilities (see Chapter 2.5).

In short, Riffaterre may unintentionally be contributing to an EFLit model. He anticipates later developments in reader-response approaches when he accepts that in its initial moment the interpretation process depends on the real reader's reaction.

Because he emphasizes the relevance of structure, Riffaterre also contributes indirectly to an EFLit model when he draws the attention to the possible linguistic limitations his reader may have. He points out (1959:166):

The AR's validity is limited to the state of the language he knows: his linguistic consciousness, which conditions his reactions, does not reach beyond a short span of time in the evolution of his language.

Although he is referring to native speakers only and arguing from a diachronic perspective, Riffaterre acknowledges the possibility of linguistic restrictions. That is, readers may not share the same linguistic system. What may be an archaism for a modern informant may have been a neologism for a 17th century reader (cf. Todorov, 1971a:32). Here we could possibly extend this acknowledgement of differences to cross-cultural situations.

Non-native readers may respond less emotionally and tackle meaning making as a more intellectual problem. They may also be more flexible to a wider range of alternative meanings. Native readers tend to avoid alternatives, opting for well-travelled routes. They generally obey a principle of economy (cf. Sperber & Wilson, 1986).

Summarizing, Riffaterre's model is not totally applicable to an EFLit reality due to the authority he imparts to sophisticated readers to determine what interpretation is right or wrong. Neither does he allow for variation in interpretation. However, Riffaterre is aware that the reader's interpretation may be limited by his/her knowledge of the linguistic system. This fact, in a way, presupposes cultural differences.

Moreover, Riffaterre's postulations may serve as a reminder that, as far as the teaching of EFLit is concerned, some basic guidance in text selection and the workings of the language system may be necessary and positive. For instance, a common everyday [S+V+O+A] sequence as in [But my love does not disdain him for this], may be realized in a sonnet as [O+A+S+V] [Yet him for this my love no whit disdaineth]¹⁶⁴. The teacher may indicate to the learner the route of the unusual structure. In this case, the teacher would be providing news about the system, but not necessarily helping with the interpretation.

Riffaterre has been criticized by Iser (1978,1987:30), who claims that "by sheer weight of numbers, Riffaterre hopes to eliminate the degree of variation inevitably arising from the subjective disposition of the individual reader". Not only does Iser reject Riffaterre's collective and statistical model but he is also against a real reader that may be constructed from documents.

Iser divides the term reader into the **actual reader** and the **implied reader**, according to their responses to the literary text. The actual reader is the real individual, affected by the past experiences he or she brings into the process. This reader produces an interpretation according to a certain viewpoint. The implied reader is a hypothetical concept, made evident from possible actualizations of the text. He explains (idem:34):

The concept of the implied reader is therefore a textual structure anticipating the presence of a recipient without necessarily defining him ... The concept of the implied reader designates a network of response-inviting structures, which impel the reader to grasp the text.

In other words, like Riffaterre, Iser does not renounce formalism entirely. Nor do these two theoreticians assume that meaning resides in the language of the text alone. Iser's actual reader, however, seems to have been given more autonomy than Riffaterre's.

Based on R.D. Laing's (1961,1969) description of interpersonal relations, Iser (1989:32) justifies the need of interpretation:

... dyadic and dynamic interaction comes about only because we are unable to experience how we experience one another, which in turn proves to be a propellant to interaction. Out of this fact arises the basic need for interpretation, which regulates the whole process of interaction.

This implies that meaning results from the reader's interplay with the text. The reader acts as a co-creator, who negotiates with the text and fills in gaps, that is, areas of indeterminacy. Iser's theory assumes that all forms are present in the text in an embryonic form. It is the actual reader who materializes them¹⁶⁵.

However, Iser does not compromise over the question of authority. Selden (1985,1988:113) notes that "it remains unclear whether Iser wishes to grant the reader the power to fill up at will the blanks in the text or whether he regards the text as the final arbiter of the reader's actualisations".

Iser's theory allows for a spectrum of possible interpretations, but does not advance any levels of interpretation based on a scale of sophistication. Moreover, Iser does not refer to cultural variation or different degrees of literary or linguistic competence. These he takes for granted. Therefore, due to the heterogeneity of linguistic knowledge and cultural assumptions in an EFLit situation, Iser's model may not be an adequate solution.

Another influential description has been provided by Eco (1979b, 1981). Also an abstract conception and based on an information model, Eco's **model reader** presupposes the notion that the text is a message which must be interpreted by the addressee or reader. Dolezel (1980:182) notes that Eco's reader

loses his individualistic and psychological characteristics and becomes a metonym for the set of interpretive norms which have to be applied at the output of the communicative chain in order to recover the semantic (and aesthetic) properties of literary texts.

Whereas Iser developed the dyadic or interpersonal relationship between text and reader, Eco concentrates on the interaction between writer and reader. The text mediates this interaction. Therefore, the three elements are present in this model.

According to Eco, the writer imagines a possible reader and builds strategies to reach him/her. In their turn, real readers take for granted that strategies have been laid out for them. Their reading is adjusted to what they find in the text. Eco then claims that the text creates the competence of its model reader. In addition, the foreseen interpretation becomes part of the generation of the text. He states (1979b, 1981:8-11):

...a well-organized text presupposes a model of competence coming from outside the text, but on the other hand works to build up, by merely textual means, such a competence... The model reader is a textually established set of felicity conditions to be met in order to have a macro-speech act (such as a text is) fully actualized.

By means of the text, Eco reaffirms the writer's authority. Similarly to Riffaterre, Eco argues that these textual strategies are preestablished and presented in such a way that the reader cannot move outside the control of the author.

Like Iser's implied reader, the model reader is deduced from the text, but has strong Gricean overtones. Here we find a highly co-operative, linguistically competent, self-motivated participant willing to communicate with the text -- a very different picture from that of the EFLit student.

So far, most readers have been abstract concepts. Dolezel (op.cit.:181) rightly notes that "it has become customary in recent criticism to transfer responsibility for critical 'readings' to a mysterious, omnipresent and infinitely flexible 'ideal' reader".

Moving away from idealized readers and writer's authority, Rabinowitz (1987) distinguishes between the **actual reader** -- that is, the flesh and bone linguistically competent person over whom the writer has no control -- and the **authorial reader**, or the readership the author has in mind. He suggests (idem: 20-1) that these two concepts co-exist. Rabinowitz defines:

First, there is the actual audience. This consists of the flesh-and-blood people who read the book. This is the audience that booksellers are most concerned with -- but it happens to be the audience over which an author has no guaranteed control. Each member of the actual audience is different, and each reads in his or her own way, with a distance from other readers depending upon such variables as class, gender, race, personality, training, culture, and historical situation... Yet ... (an author) ... cannot begin to fill up a blank page without making assumptions about the readers' beliefs, knowledge, and familiarity with conventions. As a result, authors are forced to guess; they design their books rhetorically for some more or less specific hypothetical audience, which I call the authorial audience.

Rabinowitz's model brings to mind Eco's strategies but it transcends the textual level. Investigating the politics of interpretation, Rabinowitz affirms that looking into how individuals read "can also help reveal the structures of thought that control us" (idem: 208). Although we agree with most of these assertions, Rabinowitz still assumes the reader's linguistic competence.

De Beaugrande (1985) is the first critic to argue for a non-sophisticated real reader, whom he calls the **Naive Reader** (1987)¹⁶⁶. In the Abstract to this article, he writes:

Though literary theorists have increasingly placed the reader at the center of the literary transaction, the expert or ideal reader has received far more attention than the naive real reader often found in ordinary settings.

The Naive Reader model reflects a concern for students' motivation. De Beaugrande notes that when students' interpretations are labelled **wrong** or **illegitimate**, they will find little motivation to carry out the reading activity. Students become timid and may avoid reading.

Assuming that all responses tend to be systematic and coherent rather than subjective or chaotic, de Beaugrande (idem:147) argues for his Naive Readers, that is, undergraduates at the University of Florida who

report having had little contact with literary works in their prior schooling and even less outside the schools. And what contact they did have was seldom staged as an acquisition of self-reliant strategies of reading. Instead, the readings favored by teachers or textbooks were treated as norms for students to accept and rehearse.

These students' ultimate goal is to arrive at the "correct" interpretation, that is, the one forwarded by their teachers or critics.

By classifying his students' responses from more plausible to more marginal ones, de Beaugrande contributes with the notion of a cline of plausibility which we consider essential for an EFLit model of reader. This means that idiosyncratic responses may not be ruled out as **incorrect**. Rather, they are classified as **more marginal** interpretations.

Similar to the readers in the Pilot Project (Chapter 7.2.2), de Beaugrande's students are naive in the sense that they may not have acquired a sophisticated repertoire of analytical tools to interpret. Nor have they developed a metalanguage to account for their responses.

However close de Beaugrande's model may be to an EFLit student, the ground has not been totally covered for two reasons. First, a fact: de Beaugrande's students are native speakers of English. Although located in Florida, he makes no reference to the large number of Hispanics who consider English their second language. Second, a theoretical standpoint: de Beaugrande accepts psychological responses as accounts of literary readings and does not necessarily concentrate on the linguistic devices which may have triggered certain effects in the reader. Many of his examples reveal the psychoanalytical fallacy that, for instance, McCormick (1987) and Bleich (1975; 1989) fall into.

Most of the descriptions above tend to favour one or two of the three elements that come into the act of reading. For the purposes of this thesis, the balance between the reader, the writer, and the text is needed for an understanding of how language is used in the creation of a literary piece.

Taking the three elements into account, Sinclair offers a **target reader**. Sinclair (1991a:18-19) defines:

a person who shares enough cultural assumptions with the originator of the text to understand it in a broadly similar way to the way we assume the author intended ... Any text identifies its target readers, and an ideal target reader is someone who shares cultural assumptions with the writer.

He adds (idem, ibidem):

If you do not have access to them, you should not be reading the text. Your problem is not the English language, but the cultural assumptions of the originator of the text.

In other words, an investigation into the textual structure will reveal to the reader who the writer is addressing. The reader then decides whether he or she is the reader the author intended.

This model works very well in a context where English is a native language. A teacher of EFLit, however, may have some problems. Let us take it in parts. Firstly, the definition is not too clear. The adverb **broadly** fuzzifies the limits of **similar**. How can degrees of similarity be determined? Who are the **we** who assumes the author's intentions and who defines this scale of similarity? Are they the literary critics, the native speakers, the teachers, etc.? Secondly, the definition seems to imply a polar yes/no choice. The reader is only considered a target reader if he or she shares the writer's assumptions.

Instead, we suggest that **degrees of sharedness** substitute the share/not share postulation. In an EFLit situation it is essential for the students to rely on their initial assumptions -- minimal though they may be. These will act as a basis for more sophisticated interpretations. Thus, a progression of shared knowledge will reveal degrees of understanding. The higher the level of understanding, the more will the reader move towards sharedness. This move upwards will depend on an acculturation process.

In addition, the texts used in EFLit classes appear to stand the test of space and time. Shakespeare's target audience was quite different from that of a contemporary group of readers in a Latin American context. Yet, South American student can read and enjoy the plays. A valuable text for EFLit should allow cross-cultural assumptions. The EFLit student is bound to pick out at least some of these assumptions from the text. These will encourage further attempts at interpreting. As a consequence, acculturation takes place.

In the next section we shall propose a model which derives much of its strength from the seven models above but which is specific to non-native readers of texts in English.

5.1.3. The Projected Reader

To accommodate the EFLit reader we shall develop the metaphor for reading as an event of **projection**. The basic concept derives from the following definitions for **projection** in the *O.E.D.*:

I.1. The action of projection; the fact of being projected; throwing or casting forth or forward; impulsion, ejection.

II.3. The forming of mental projects or plans; scheming, planning.

4. That which is projected or planned; a project, plan, design, scheme; a proposal.

These definitions contain at least three basic assumptions: in terms of movement, a projection is a dynamic process which implies instability and change; in terms of space, it moves from one point to another; in terms of time, it relates together past, present, and future. A projection can only occur in the present after a series of concepts have already been established; at the same time, it brings into play the future realizations.

The act of reading has been seen as a game¹⁶⁷, the participants of which are constantly posing questions. Fish (in Mailloux, 1976:189-190) explains the reason for these questions:

... man is an epistemological animal, because my reader as I talk about him is always attempting to place himself, asking himself questions about what he knows and where he stands, and in the context of those questions in fact placing himself in various positions in which he rests, from which he is dislodged, from which he moves voluntarily and involuntarily.

Both the reader and the writer constantly dialogue with their inner selves and check how they stand in relation to the world, trying to understand the relevance of their role in it. According to this notion, both the acts of writing and reading depend on a hypothetical participant consisting of a cluster or a set of assumptions established by the text, which reflect both those assumptions of the author, and their reconstruction by each of the readers. This virtual cluster is what we shall call the **Projected Reader**.

In the act of writing, the writer assumes a certain reader and develops strategies in the written text that reveal what he or she assumes is relevant to that reader. This is the **writer's projection**.

In the act of reading, the reader assumes that the writer has intended a certain kind of reader, which may or may not match the projection of the writer. The reader is able to build this projection by perceiving signals in the text, reacting to linguistic patterns, and by developing strategies to meet those assumptions. The reader then checks how he or she fits into the picture and adjusts him or herself accordingly. If the misfit is too significant, the reader may feel discouraged and stop reading. In this case, the reader realizes he or she is not the target reader (Sinclair, 1991a). Otherwise, the individual may proceed by comparing his/her projected image to his/her actual representation of him or herself. The projection is negotiated from the reader's perspective.

The written text mediates the interaction between:

- the actual reader and his or her projection
- the real writer and his or her projected reader.

This mediation is signalled by linguistic elements chosen by the writer and picked out by the reader. According to Sinclair (1986), the literary text creates a fictional world which the readers relate to their own experience through their own imagination. The fact that the text contains the material necessary for the readers' creation is also supported by

Eco, who claims that "You cannot use the text as you want, but only as the text wants you to use it" (1979,1981:9; see also Eco's Tannen Lectures in Collini, 1992). For example, when a reader picks up a sonnet by Shakespeare, he or she rules out the possibility of the poem having been written for children. From an investigation into the language (play on subordination, choice of lexis, ambiguity, puns, etc.) the reader will project the ideal reader for that text. If this sonnet is a classroom assignment, the student will have to work out strategies to meet that projection. This student will then build up to that projected image.

The **Projected Reader** is an abstraction. Although arguing for the importance of the text over the reader, Iser points out the virtual dimension present in the act of reading. He writes (1975a:279):

The literary text activates our own faculties, enabling us to recreate the world it presents. The product of this creative activity is what we might call the virtual dimension of the text, which endows it with its reality. This virtual dimension is not the text itself, nor is it the imagination of the reader: it is the coming together of text and imagination.

In other words, Iser contributes to the Projected Reader model by indicating the moment when the text materializes through the "breath of life" imparted by the reader.

In sum, the Projected Reader can be revised according to negotiations the reader carries out with the text. It results from a momentary merge of assumed projections by the actual reader and by the writer, as illustrated by the following diagram:

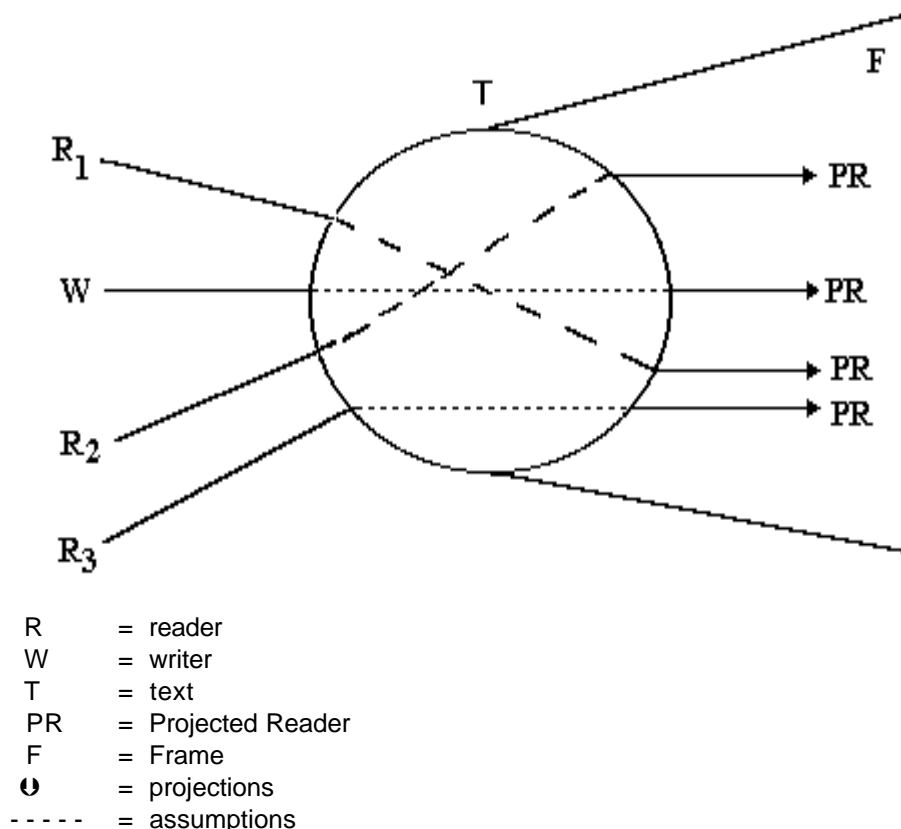


Diagram 5.1. The Projected Reader

This diagram shows the text in the middle, mediating the interaction between the actual writer and the various actual readers on one side and their projections on the other.

The projections may vary but they cluster within the framework of possibilities provided by the language of the text¹⁶⁸.

Here are the major advantages of the **Projected Reader** for an EFLit situation:

- Politically, it offers a more democratic setting where teachers', critics', and students' readings can find a place (Chapter 4.4.2).
- From the perspective of literary theory, it allows for multiple interpretations and is thus more compatible with contemporary developments in the area (Barthes, 1974; Norris, 1982; Culler, 1982; 1987; Tompkins, 1980, among others).
- Cognitively, it is in line with those studies which regard learning as a process of development and adjustment.
- Linguistically, it accommodates different levels of language proficiency.
- Culturally, it stresses that the concept of sharedness is not discrete, but rather is best viewed as existing along a cline of plausibility made possible by the focusing power of the text.

In the next section we shall discuss literary and linguistic competence and question its validity in an EFLit situation.

5.2. The EFLit Reader and Competence

Competence is an interesting combination of linguistic, socio-cultural, historical, and semiotic awareness.

C. Brumfit & R. Carter¹⁶⁹

Teaching implies that students are expected to acquire skills that will make them proficient in a certain area. In mathematics, chemistry, or physics the mastery of techniques can be easily attested by means of problem-solving situations. But by what criteria are students considered competent in literature? How to acknowledge success and failure? How to change literature "from the casual to the causal, from the random and intuitive to the systematic"? (Frye, 1957, 1990:7). Who is to set rules? or, in Eagleton's words (1983, 1988:125), "what are the rules for applying rules?" Is there such a thing as a general mastery of literature or are we to consider various types of competence, and enter the competence/performance debate (cf. Chomsky's *Syntactic Structures* published in 1957)¹⁷⁰? In terms of EFLit, are responses from native speakers of English more valid than those from non-native readers? This section discusses the notion of competence, investigates its place in literary studies in general, and sets some parameters for a definition of this term in an EFLit context, with special emphasis on LitAw (cf. Brumfit & Carter, 1986; Fowler, 1986a; Tompkins, 1988; Widdowson, 1984; Steen 1989).

Broadly speaking, the term **competence** implies that someone must comply with certain parameters. By analogy with this notion of linguistic competence, Culler (1975:121) offers an explicit model of literary competence with which he justifies the teaching of literature and the pursuit of standards:

The time and effort devoted to literary education by generations of students and teachers creates a strong presumption that there is something to be learned, and teachers do not hesitate to judge their pupil's progress towards a general literary competence.

Culler is not concerned with different levels or varieties of competence. Nor does he discuss real-time processes. He writes (idem:123-124):

The question is not what actual readers happen to do but what an ideal reader must know implicitly in order to read and interpret works in ways which we consider acceptable.

Who are these **we** that validate the interpretation? Critics? Native readers? To Culler, literary competence is equivalent to an internalized "grammar" of literature manifested in strategies for reading. That is, the appropriateness and acceptability of interpretations are dictated by conventions of reading. This mastery over rules of reading, once achieved, will not change¹⁷¹.

Culler's description makes no distinction between strategies for reading literature and for approaching other kinds of discourse¹⁷². Birch (1989:137) points out that Culler's literary competence is drawn on the notion of "literary *langue*, not in literary *parole*", that is, on an abstract ideal or "the mastery of a system" (Culler, op.cit.:114) rather than on actual performance by a real reader¹⁷³.

Culler's strength is to have regarded the term **competence** in relation to institutional settings (see Tompkins, 1988:vxiii). His theory is an offspring of the Anglo-American mode of thinking of the fifties (see Chapter 3.1.1), where the ideal standard was considered achievable in both the teaching of literature and of language. McCabe (1990:10) argues that "to look back to the late fifties and sixties is to look back to a linguistic age of innocence". In fact, the Chomskyan revolution supported a homogenous society of language

speakers (see endnote no. 10) which reflected, for instance, in the establishment of a national American Language testing system.

In the eighties and nineties the pendulum swung away from this search for uniformity into an acceptance of individualism and identity. In language teaching, the trend was to move from the teaching of general rules to variety of language use and context. At the moment, there is a tendency to regard multiple world views, multiple languages, multiple meanings. And this attitude affects the EFLit setting.

The notion of literary competence has been influenced by developments in linguistic theory. Spiro (1991:32) notes that

literary competence must in many ways depend on linguistic competence; one could not imagine appreciation of literary texts without appreciation of the language in which they are constructed. And yet the relationship between the two competences is by no means clearcut.

If texts are made of language, one must know enough of this language to appreciate the artistry, the material with which the text is wrought. However, knowing the language does not guarantee mastery over literature. That is, a native speaker may not necessarily be competent in his or her own literature.

On the other hand, an EFLit student may not know enough of the foreign language to activate the understanding of a text but this student may be a sensitive reader in his or her first language.

In addition, both native and non-native adult learners may master the language and have reached a cognitive level which enables an aesthetic response to a literary text. However, they may lack the linguistic control necessary to formalize the response.

The complexity of the problem has led some critics to dismiss the issue altogether. On the grounds that literature cannot be taught, Vendler (1984:978) claims that

Perhaps the only true thing to say about the study and teaching of literature is that it is impossible ... what we do, or what we have done, it is wrong. The prophecy that should follow is that whatever we do in the future will be wrong too.

We argue that if the teaching of language is still carried out despite theoretical shifts, the teaching of literature can also accommodate the current of changing theories. Therefore, we cannot agree with the nihilistic stance that literature cannot be taught. It is a fallacy which results in the replacement of the teaching of literature with the teaching of literary criticism (see Frye, 1957). A more fruitful approach is to establish targets and work towards them.

If competence is part and parcel of teaching and is actually a composite of goals and ideals, standards of success and failure must be set not in relation to a general notion but from a local decision on what the teaching goals are. Hence, the strength of the argument stems from regarding competence in terms of methodological models.

Spiro (1991:18) suggests six role models of target competence for the literature student:

Role	Target Competence

the literary critic	development of critical and analytical thinking: literature as philosophy.
the literary scholar	accumulation of knowledge and the ability to analyse, synthesise and contextualise this knowledge: literature as a "sacred canon".
the poet	developing skills of creative self-expression and experimentation with language: literature as a training in creativity.
the appreciative reader	developing enjoyment, appreciation and independence in reading, whatever the text or target culture: literature as an incentive to independent reading.
the humanist	developing an empathy and understanding of the human condition: literature as a training in humanism.
the competent language user	developing language skills and awareness in all genres and contexts: literature as an example of language in use.

Table 5.1. Spiro's role models

There are two major problems with this description. Firstly, the boundaries between these models are artificially drawn. For instance, in the case of LitAw, the student needs the critical and analytical thinking of the literary critic (see **cross-linking** in Chapter 2.7.2), the accumulation of knowledge of the literary scholar (see **reference build-up** in Chapter 2.7.3), the creative experimentation of the poet (see **productivity** in Chapter 2.7.5.), the experience of genres and contexts of the language user (see **exposure** in Chapter 2.7.1).

Secondly, Spiro investigates the teaching of literature to the whole population of readers, including children and young people (cf. Corcoran & Evans, 1987). However, teaching at tertiary level in Brazil differs from the requirements of the National Curriculum, the GCE or the Cambridge Certificates. The two models which come closer to university requirements are the ones Spiro proposes for the literary scholar and the appreciative reader (see above).

We hold that, at tertiary level, there are actually two main models against which to test competence: the literary critic and scholar, concerned with knowledge about literature; and the literary aware student, who learns skills for reading and discussing a literary text.

It should be stressed that one model does not exclude the other. We postulate that they represent two levels of the same practice. The first one, that of a literary aware reader, is mandatory. A literary scholar presupposes a literary aware person, but the opposite is not true. Hasan (1985:105) explains:

the foundation of appraisal (or what we here call literary criticism) **is laid upon an initial appreciation** (or what we call LitAw) ... **this appreciation is enhanced through study, so**

that by the time we come to mature students of literature, appreciation and appraisal are intertwined. (My parentheses).

Frye (op.cit.:6-7), who favours the teaching of literary criticism, acknowledges that

The first thing the literary critic has to do is to read literature, to make an inductive survey of his own field and let his critical principles shape themselves solely out of his knowledge of that field.

Based on Spiro's model, we may advance the following framework within which competence in LitAw can be tested:

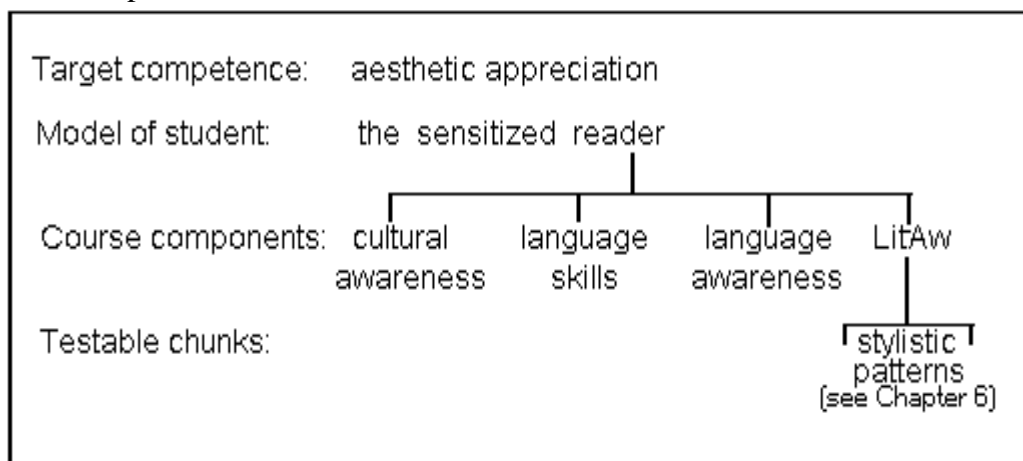


Diagram 5.2. Target Competence for LitAw

According to this model, linguistic competence and cultural awareness are not to be tested. Language improvement remains a hidden agenda. Although language skills are not focused *per se* they get somehow developed in the writing skills (see essays and creative exercises in Pilot Project, Chapter 7.2). Knowledge of grammar and lexis is also increased. These are extra benefits. The testable element is the description of the patterns perceived and their interpretation in terms of textual meaning (see testing in Chapters 7.2.4.2 and 7.2.4.3).

In informal talks with literature colleagues, in workshops and seminars, there seems to be a consensus that the teaching of LitAw skills is not teaching literature. However, we hold that students will hardly be able to answer certain questions if they have not been sensitized to the language of the text. For instance, Spiro gives an example of an examination question intended to test the students' understanding of an author's style (op.cit.:74-5). We cannot assume that EFLit students will notice the similarities and differences in style and justify a choice if they have not practised looking into language patterns such as repetition, clause structure, etc. Hasan (op.cit.:104) rightly affirms that "knowledge about language is needed to describe the techniques of symbolic articulation employed in the text".

We hold that in order to discuss and justify a literary element as, for instance, perspective and point of view, one must look into the language category of speech presentation for an informed response (see Unit 9 in Appendix I). In order to discuss the atmosphere or setting of a work, knowledge of modality, that is, the way the reader perceives the author's expression of attitudes, opinions, etc., is essential (see Unit 4 in Appendix I).

Sometimes it is not clear what is meant by literary skills. Spiro (op.cit.:43) collects the following list:

- understanding the notion of genre;

- appreciating linguistic techniques such as: neologism, changing word function, metaphor and simile, personification; recognizing inference;
- using terminology appropriately;
- knowing an author's social and personal background;
- recognising literary parallels and influences;
- memorizing long texts;
- being able to identify the author of a text;
- knowing the names of all the major works of an author in chronological order;
- memorising quotations;
- identifying different levels of meaning.

This list points at completely different goals. Some skills are text-centred and language-based, while others are of extra-textual nature. In the organizing of courses a selection must be made and boundaries set.

Once the goals are decided upon, evaluating a student's performance becomes a more precise task. As suggested above, the sensitive native or highly informed reader is not necessarily a model for an EFLit student. In order to favour the autonomy and validity of a foreign speaker's response (see Chapter 8.4), the teacher must assess the student in relation to the targets established. The assumptions underlying this argument are the following:

- Any interpretation is admissible as a basis for appreciating the text as long as it can be accepted by both native and non-native speakers. This acceptance depends on a consensus of how the interpretation is justified (for further discussion, see Chapter 4.4.5).
- Not every native speaker's interpretation is acceptable. Native readers may produce idiosyncratic and uninformed interpretations. By the same token, not every non-native reader's interpretation is contextually and linguistically esoteric.
- Highly trained interpreters do not legitimise models. They contribute to an overall picture (see Chapter 4.4.2).
- Plurality of meaning and variety in response are not impediments to testing.

In sum, competence presupposes standardization, but instead of a well-defined and abstract system assumed to be known by an ideal reader in a homogenous community, we favour the idea of different competences which depend on parameters set by a certain group in a certain community (Fish, 1980). Therefore, any methodological decisions should take into account these targets. According to Hasan (op.cit.:106), "Each critical milieu creates its own new 'infallible' touchstones for judging the excellence of literature texts".

Competence in LitAw and competence in literary studies reflect two different but complementary types of knowledge -- that of the critical reader and that of the scholarly reader. At present, a literature student may or may not have been sensitized. In many cases, mastery in aesthetic response is taken for granted in many courses as students initiate their literary studies (see Chapter 1). We question this point and offer a LitAw programme as a basis for literary studies. This programme validates an EFLit student's response since any reading will necessarily resort to textual evidence for approval.

Because competence depends on a reader's response to a text, and this response is culturally bound, competence is a changing and flexible concept.

Notes

CHAPTER 6

STYLISTIC PATTERNS FOR LITERARY AWARENESS

6.1. General Considerations

Nothing is more human than the love of abstract forms. The relations discovered or invented in pure mathematics, like the forms we find, or think we find, in the physical world, are felt by all who pursue them to be more worthy of pursuit than sheer chaos would be.

W. Booth ¹

This chapter presents an overview of the stylistic patterns used in the Pilot Project. It describes how each of the units is built around a major stylistic function and how each of these stylistic functions is expressed by particular linguistic structures. For example, the function of "fuzzifying" in our study is mostly dependent on the use of modals; personification results from transitivity; perspective, from speech presentation (more specifically, from Free Indirect Discourse). In short, this chapter deals with those aspects of linguistics which have constituted the course and the stylistic effects they produced in the texts selected. This opening section justifies our categorization. However, it must be made clear that the isolation of patterns as units of meaning is artificial. It is our contention that patterns depend on context for meaning.¹⁷⁴

In order to avoid the ad-hocness of stylistic comment, Sinclair (1982a:163) suggests the term **focusing categories**, or **focats**, to define "the intersection points of particular interest ... in the explication of the relationship between linguistic details and literary interpretation". He writes that "... a great proportion of stylistic analysis can be effected through a small and finite set of focats" (idem, ibidem).

In a later study, Sinclair (1988:271) proposes the following categories for poetic discourse:

- **arrest**, when there is a clear prediction of more to come.
- **continue**, when the structure appears to be complete but continues with optional

syntactic choices.

- **complete**, when the structure appears to be complete.
- **list**, when the structure continues with further paradigmatic choices.
- **stretch**, when an already arrested structure is subjected to further arrest.

Although original and invaluable to the description of poetic discourse, this categorization may not work in an EFLit environment. It requires great mastery over both linguistic and poetic description, which is not the case in many EFLit situations.

In order to obtain the correspondence between linguistic and stylistic functions, the Pilot Project had to rely on a less complex categorization. Our choices have been laid out in Table 6.1. This taxonomy, however, is not to be regarded as definitive. Its objective is to relate some linguistic patterns to their stylistic functions rather than to provide an exhaustive description. It is our belief that regularities can only be uncovered from practice. Hence, they cannot constitute an abstract and complete picture¹⁷⁵. This taxonomy was produced from the regularities found in the texts selected for the Project.

It is important to point out that structural patterns can have more than one stylistic function, and different structures can have similar functions. It is the stylistic context (Riffaterre, 1960) (or the **context of situation**, according to Firth 1930, 1966) which ultimately determines the meaning¹⁷⁶.

In a similar line of thought, van Peer (1987:149) argues for this relational and dynamic perspective as regards noticeability of foregrounding. He writes:

It is relational, because it does not exist in itself, e.g. textual configurations, but only as a way which these entities relate to each other, or -- better still -- as a way in which this relationship is perceived...

In other words, patterns are not to be considered in isolation; alone, they do not mean. Having said that, we realize this relational perspective entails a complicating factor: if patterns are the outcome of textual relations, the relation itself can be regarded as a *tertium quid*¹⁷⁷ and the perception of this relation turns out to be more complex than the perception of isolated items.

Once established that correspondences between patterns and functions are text-dependent, the patterns selected for our study were those we considered more relevant to the texts in question. In other words, the choice of texts determined the patterns to be highlighted (for criteria of text selection, see Chapter 7.2.1.2).

This orientation stems from the belief that, in the process of experiencing the text, readers set priorities to the patterns they find. This layering of patterns affects the way the text is interpreted. Readers tend to opt for the most obvious patterns. These are the ones that are perceived first. Thus, the order of pattern description in a text generally follows the order of a reader's perception -- from the most obvious to the most subtle pattern.¹⁷⁸

Halliday explains that language is structured in a hierarchical order and that each of these hierarchies, though related, may function independently. He adds (1985, 1990b:18):

there are infinite possibilities of matching them up in meaningful ways. They can be played with, as it were -- precisely because, in the last resort, they are not what language is -- though they are essential mechanisms for achieving its variety of purposes.

Halliday believes it is "experience itself... (which) imposes a constituent-like structure on our consciousness" (idem, ibidem). This means that any inventory should follow

a principle of hierarchy. In other words, some patterns are more prevalent and obvious than others in the constitution of meaning. They stand above others. These most significant patterns are the ones which readers pick out first and tend to share. The lower the reader travels on the scale, that is, the more delicate the analysis, the more complex and divergent the interpretations may become.

Van Peer (1987) carried out an experiment in order to verify whether some patterns were more noticeable than others. He first analysed some poems and decided which parts presented the highest density of foregrounded devices. Then he established a hierarchy of patterns. A third step was to submit the poems to three groups of native undergraduate students of English from different major areas. One group studied stylistics, the second group took up English literature but had no specific training in stylistics, and the third group belonged to other areas (biology, chemistry, etc.). Their task was to underline which aspects they considered "striking" and which they judged to be of high discussion value. A third task involved attributing grades to the lines in the poem -- from the most important to the least important ones. Van Peer (idem:156) concluded that

the hypothesis that familiarity with the theory itself, or general literary training, would exert influence on reader's responses to foregrounding configurations in a text, must be rejected.

In other words, the three groups picked out the same patterns and drew the same hierarchies, regardless of their background training.

What van Peer's findings suggest is that literary training may not influence the perception of the most striking features. However, what the study does not clarify and still remains to be proved is whether only stylistics students would have been able to be explicit about these patterns perceived.

We believe that stylistics students develop a language with which to discuss their findings. Moreover, they may be able to carry their analysis further down the scale of hierarchy Halliday describes (see above).

The following table presents a summary of the linguistic aspects focused in each unit of the Pilot Project and the surface features the students were expected to notice. The patterns are numbered and will be described in more detail in the next section (cf. also Chapter 7.2.1.2.d).

Pattern no.	Aspect of linguistics	Surface features	Units in the course
1	transitivity	doers & process	2
2	subordination	complex, winding & long sentences	3
3	modality	modals, plurals, adjectives	4
4	lexical cohesion	repetition	5
5	graphological features	letters & layout	6
6	lexical & syntactic neologism	new words & syntax	7

7	tense	verb groups	8
8	free indirect discourse	speech presentation	9
9	matching relations	comparisons	10
10	register	choice of language	11

Table 6.1. Summary of linguistic aspects per unit.

This table indicates that a total of ten patterns were selected, although the entire course consisted of twelve units. Ten units focused specifically on linguistic patterns and stylistic functions. Unit 1 differed in the sense that it dealt with literariness based on the notion of collocation, that is, the tendency that certain words have to co-occur regularly. Collocation is not considered here on the same grounds as the other linguistic aspects. It is more central to the question of what makes a text literary and has been dealt with in detail in Chapter 3 (cf. also Unit 1 in Appendix I). Unit 12, the last one in the course, dealt with non-linguistic elements of literary conventions, such as the influence of binding, presentation, and marketing of books, and discussed the role of the mediator in the literary system. All these decisions, however, were based on language analysis (see Chapter 4.4.4 for a rationale).

The course on LitAw in no way was intended to establish in a definite way categories for stylistic analysis. It aimed at initiating a process whereby EFLit students became sensitized to the fact that linguistic patterns and stylistic functions correspond and can be used to create a certain effect.

The purpose of our course was twofold. In the act of reading, to train students to recognize patterns in a variety of literary texts and to be explicit about them. In the act of writing, to help students create a context where certain structures accurately produce the effect the students expect to trigger in their reader.

6.2. The Patterns

We should be alive to the stylistic potentialities of the simplest linguistic patterns ... We need a new rhetoric which will allow us to examine these simplest, most normal features, because, far from being without stylistic relevance, they contain hidden powers of style which deserve to be considered.

M.A.K. Halliday ¹⁷⁹

This section examines in more detail the language patterns selected for the course. As with any structure, the selection process is ultimately subject-dependent. In addition, a degree of eclecticism has been necessary since no single model provided a satisfactory description covering all the patterns. The result is that each pattern has its own research history.¹⁸⁰

As the descriptions that follow will show, most of the patterns are not unusual or deviant. On the contrary, they represent instances of ordinary language. What is different is the way they are treated.¹⁸¹ We shall discuss the relevance of each pattern, how it is described, and the relation it holds to stylistics. In no way do we claim to be comprehensive. What follows is just a beginning, an illustration of a direction in stylistic studies.

6.2.1. Transitivity/Personification

a. Relevance of pattern

Much before the development of theoretical studies which might have supported her statement, Rosenblatt (1938, 1983:30) noticed that "through the medium of words, the text brings into the reader's consciousness certain concepts, certain sensuous experiences, certain images of things, people, actions, scenes."

Today, modern linguistics explains how this linguistic experience Rosenblatt mentioned can be the result, among many other factors, of relations within the clause. Halliday (1985, 1990:101) points out that "Our most powerful conception of reality is that it consists of "goings-on": of doing, happening, feeling, being. These goings-on are sorted out in the semantic system of the language, and expressed through the grammar of the clause".

This means that the relation established between nominal and verbal groups may bring out a vision of the world (see Chapter 4.2). Halliday maintains that transitivity may express this reflective, experiential aspect of clausal meaning. In other words, transitivity, or the relations between the participants in a clause, is the linguistic representation of "goings-on" in the real world. Transitivity allows syntax to be regarded as a conceptual process. In this sense, it belongs to the ideational level of language.

Simpson (1988:14) supports this notion and applies Halliday's transitivity model to a text by John Le Carré. He writes:

Transitivity concerns the representation of meaning in the clause and features the different types of process that are recognized in the language. Clearly, the phenomenon of transitivity is a fundamental component of any language as it is one of the systems by which speakers encode in language their mental picture of reality and account for their experience of the world around them.

Simpson's statement reveals a movement from outside to inside the text. First the speakers have a mental picture; then they encode it in language. We shall see how this can occur the other way round. From the text, a mental picture can be derived.

Kennedy (1982) also offers an application of Halliday's transitivity model to literary texts, in this case, to Conrad's *The Secret Agent* and Joyce's "Two Gallants". Fowler (1991:70-76) uses transitivity as a linguistic tool to reveal patterns of thought encoded in the language of newspapers. However, the most influential work on the subject is Halliday's (1971) interpretation of Golding's *The Inheritors*¹⁸². In this study, Halliday claims that the world view of the Neanderthal man is revealed from the lack of transitive clauses of action with human subjects. When Lok verbalizes the act of someone holding up a bow and drawing it as "a stick rose upright" and "began to grow shorter at both ends", Halliday suggests "it is the syntax as such, rather than the syntactic reflection of the subject-matter, to which we are responding" (idem:350). Therefore, by means of transitivity relations, the reader is able to perceive the semantic organization of an experience. From textual organization, the reader is able to construct a mental representation¹⁸³.

b. How transitivity is expounded

Traditional grammar regards transitivity as an attribute of the verb. Quirk et alii, for instance, call transitive verbs those which take a direct object (1972:38, 343). Instead of an attribution, this thesis follows the Hallidayan model which understands transitivity as a relation established between the participants in a clause. This relation reflects the way the

world can be perceived. Consequently, transitivity is concerned with the ideational function of language, that is, how language represents patterns of experience.

Transitivity is a linguistic phenomenon. The reader's experience results from the perception of how subject, verb, and object relate. The untrained reader, however, may not be aware of how the linguistic structure is thus "semanticized" (Halliday, 1985,1990:101).

Not a fixed attribute of the verb, transitivity depends on how a speaker/writer perceives a situation. Fox (1991) shows that verbs frequently used in intransitive clauses can be made transitive. For example,

Alice laughed scornfully.

Alice laughed a scornful laugh.

Fox explains that in this case, the speaker "is concentrating on the *type* of, or the *effect* of, the laugh or smile, rather than on the doing of the action" (idem:19; my italics). In other words, transitivity can be used for stylistic effect.

Halliday (idem:102) describes the process of transitivity as consisting of three components:

Type of element	Typically realized by
1. the process itself	the verbal group
2. the participants in the process	the nominal group
3. the circumstances associated with the process	prepositional phrase

Table 6.2. Elements of transitivity

The subject of the clause may be the agent or the active participant in the process, that is, the element who performs the deed. When the actor in the representation is not normally expected in such a process, this fact may be stylistically relevant.

c. Relevance of pattern to stylistics

Agentivity, or being the actor in a transitive clause, is culture-bound. Certain types of agentivity are familiar to certain cultures. For example, it is widely accepted in many cultures that people are able to speak but that trees are not. That is, certain agents are recognized as typical of specific processes.

However, this notion may be disturbed for some reason. In this case, readers are forced to work out a new way of establishing meaning. To achieve it, readers transfer aspects of the expected agent to the actual one.

At this point, a contact may be established between linguistics and rhetoric to re-gloss what rhetoric has traditionally called **personification**. Frye et alii (1985:345) define personification as "the technique of treating abstractions, things, or animals as persons". A typical explanation is Kirszner & Mandell's (1984)¹⁸⁴:

In personification, an inanimate thing --even a concept or an idea -- is given the attributes or qualities of an animal or human. In speech and in writing, we all use phrases like "love is blind" and "the wind howled". With these phrases we give characteristics usually associated with people or animals to the abstract concept "love" and the inanimate "wind". Such figures of speech are useful because they can

make an abstract concept or hard-to-describe thing more concrete, more familiar, and perhaps more interesting.

In other words, personification has been defined as an attribute of the noun. However, if personification is equated with transitivity, it can be understood as the result of an unusual association between objects or things and certain processes. The role of the actor is forced onto an object or thing which normally does not perform this specific role. Thus, the reader is able to view a phenomenon from an unusual perspective. For instance, the text may present the world as experienced by a bug (cf. Kafka's *Metamorphosis*), or by a stamp (see "Tale of a Stamp" in Unit 2, Appendix I. See also the notion of "defamiliarization" in Chapter 3.1.2).

To illustrate how transitivity may acquire literary relevance, an analysis of a passage from Golding's *Pincher Martin* is offered in Appendix V¹⁸⁵. This passage deals with the crucial moment when a character is about to drown. Instead of describing the situation or discussing the subject-matter, Golding creates the effect of a person losing his consciousness, that is, the exact moment he can no longer control his movements and the body responds physiologically against the termination of life. Parts of the body are personified and become the agents of processes. Thus, the drowning is experienced by the reader by means of transitivity. The meaning the reader believes he or she has arrived at intuitively has actually been conveyed by clausal transitivity relations.

6.2.2. Suspension by Subordination

a. Relevance of pattern

The production or perception of language involves establishing formal and semantic hierarchies. Some ideas in a sentence are considered more relevant than others. From the grammatical perspective, this fact can be realized in terms of **clause complex** in which a more important or head clause is modified by other subordinate clauses (Halliday 1985,1990:192).

To determine the hierarchical framework, clause complexes relate in terms of **hypotaxis** and **parataxis**. In the first case, one clause depends on a dominant one. In the second case, the relationship is established on an equal status, one clause initiating and the other continuing.

The relevance of subordination is explained in Sinclair (ed.) (1990:342):

Sometimes we want to make a statement which is too complex or detailed to be expressed in a single clause. We make statements of this kind by putting two or more clauses together in one sentence.

Pattern 2 focuses on the relevance of hypotactic structural relations and their semantic significance. For some reason or other, the writer may decide to withhold the conclusion of his or her idea(s) by embedding further ideas. As a consequence, in reading, the reader's "breath" is also withheld and he or she is left for a longer period than expected in a state of suspension before landing on the conclusive idea.

Besides adding to the complexity of linguistic functions, suspension by subordination can be explored for stylistic purposes¹⁸⁶.

b. How suspension by subordination is expounded

We consider **suspension** what Sinclair glosses as **arrest**. He explains (1988a:266) that "Whenever an element of structure can be predicted (from normal rules of syntax) but does not occur immediately, the elements which do occur are said to arrest the progress of the syntax". Elsewhere (1982a:165) he describes the phenomenon:

The introduction of an optional element at a place in structure where the structure is syntactically incomplete ... If, in the structure AXB, A predicts B but not X, then X is an arresting element. On the other hand, if in the same structure AXB X is a regular selection in the structure (that is, in its normal position), and is of a different grammatical class from A, then it is not an arresting element.

It is clear from this description that **arrest** (or **suspension**) may occur at various levels of language. That is, there are many ways of obtaining suspension¹⁸⁷. On the discourse level, for instance, cataphora can also function as an effective instrument. McCarthy (1991:42) notes that the most characteristic aspect of cataphora is "to engage and hold the reader's attention with a 'read on and find out message'".

The pattern selected for the syllabus, however, is only concerned with the occurrence of this stylistic category (or **focat**) with subordination.

At this point, it should be made clear that the option for the term **arrest** or **suspension** suggests a different perspective of the same phenomenon. In both concepts, it is taken for granted that there are two structural elements: an initial and predictive one and the element which satisfies the prediction and closes the structure. The difference refers to the intervening elements. **Arrest** implies that these are **arresting elements**, that is, that they have

a paralysing effect in relation to what has just occurred. On the other hand, **suspension** maintains the animation. The expectation of the predicted element is not frustrated. Reading becomes more complex. It progresses on two tracks: the one that is left open, waiting for a conclusion; and the in-between development. Hence we prefer **suspension** as the more appropriate form.

c. Relevance of pattern to stylistics

Suspension may be used for different stylistic effects. In V. Woolf's stream-of-consciousness technique it is used to stimulate sudden, impromptu, and additional thoughts. In the opening of D.H. Lawrence's "Tickets, Please", the movement of the train is simulated by the lack of grammatical resting places. The reader starts off together with the train in the first sentence, travels through all the descriptions and only "breathes" when the train comes to a stop (both the graphic symbol and the representation of an idea)(see Text 2 in Chapter 7.2.5.2 and Appendix VIII).

In the passage from *Pickwick Papers* in Unit 3 (Appendix I), suspension brings about ironic overtones. Here we shall only consider the first SVA structure for the purpose of illustration. Between the subject *Mr. Weller* and the main verb *set forth*, six different structures are introduced to suspend the occurrence of the predicted SVA structure. Suspension is here realized in layers, according to the following pattern:

Diagram 6.1. Structure of a suspended passage

where:

S = *Mr. Weller*

S1 = *having obtained leave of absence from Mr. Pickwick*

S2 = *who ... was ... displeased*

S2a = *in his then state of excitement*

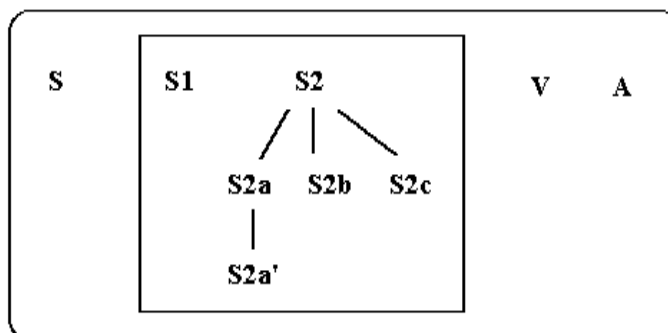
S2a' = *and worry* (see Sinclair's **extension**)

S2b = *by no means* (see Sinclair's **extension**)

S2c = *at being left alone*

V = *set forth*

A = *long before the appointed hour*



The relevance of suspension to the passage is that the syntax reflects ironically the description of Mr. Weller's "philosophical" state of mind (see Class Plan 3 in Appendix II). For an analysis of how suspension works in Shakespeare's **Sonnet XXIX**, see Appendix VI.

6.2.3. Vagueness by Modality

a. Relevance of pattern

This pattern is in line with the notion of a "concept with blurred edges" brought forward by Wittgenstein (1958:340), who asks:

Is an indistinct photograph a picture of a person at all? Is it even always an advantage to replace an indistinct picture by a sharp one? Isn't the indistinct one often exactly what we need?

Some literary texts, especially those of a Symbolist orientation, openly pursue this indeterminacy of meaning and avoid direct propositions. Authors like E.A. Poe or V. Woolf advocate the use of a "suggestive" language to express feelings and more "elusive" states of mind. In other words, they "fuzzify" the truth of the proposition being conveyed.

Our use of quotation marks above is intentional. How can one define language as mysterious, obscure, evocative? For instance, in describing symbols, Hutchinson (1983:115) writes:

In its more specific, period sense, "symbolism" refers to a movement in poetry and painting in late nineteenth century France, the adherents of which aimed to suggest emotions and states of mind and to penetrate to the essence of things, partly by the suggestive power of language, partly by means of a subject-matter which relied to a great extent on symbols, sometimes of an obscure nature.

Paradoxically the key to the problem is offered by a French Symbolist himself, by Mallarmé, who affirmed that "Poetry is not made with ideas, it is made with words".

One should look into language to find out what words or word combinations are responsible for the suggestive language which on many occasions replace precise, direct and clear-cut formulations (Ullmann, 1971).

Channell (1983; 1985; forthcoming) analyses a number of different ways in which precision can be avoided¹⁸⁸. In her detailed coverage of a wide range of spoken and written uses of vague language, she demonstrates that vagueness forms a considerable part of language use, although people assume that "good" usage involves clarity and precision. Channell argues, however, that good writers know how to use the amount of vagueness which is right for the purpose of their writing.

Channell looks into vague additives (eg. A team of **around** ten people), where precise quantity is made vague. A second instance she points out is vagueness by choice of imprecise words, like *wotsit*, *whatsisname* (absent in academic writing)¹⁸⁹; a third object of her investigation is vagueness by implicature¹⁹⁰ (eg. "Sam is six feet tall" instead of "Sam is six feet and a quarter of an inch tall").

Channell states that some kinds of vague expressions may appear in academic writing. According to her, some sections in *The Economist* tend to be less precise than others. But, in general, her investigation shows that vague language is disfavoured in written English. What Channell leaves out of her study is the use of vague language in literary discourse.

Pattern 3, on the contrary, shows how vagueness can be effectively used in literary discourse. It deals with how writers express doubts, opinions and attitudes towards something and the effect this vagueness has on the reader (cf. Sinclair, ed., 1990).

Linguistically, this concept can be conveyed by means of modality¹⁹¹. Following Halliday's description, Simpson calls modality "an interpersonal feature of language use" whereby "speakers express judgement on the truth of the proposition they utter" (1988:20). Ullmann presents vagueness as one of the semantic features of style, or of the

"expressive values... which colour the cognitive meaning of a word" (1971:138). He defines (idem, ibidem):

Vagueness in meaning is a condition due to a variety of factors: the "generic" nature of our words which usually stand for class-concepts and in which individual differences are inevitably neglected; inconsistencies, looseness, and contextual shifts in the way we use language; absence of clear boundaries between the things we talk about; lack of familiarity with these things, and fumbling or muddled thinking in general. Such vagueness will be a serious disadvantage in all situations where clarity and precision are essential and where concepts have to be sharply delimited... There are, however, many situations where vague, tentative, or suggestive language is preferable to precise formulation.

More recently, Fowler (1991:64) explains that modality

suggests the presence of an individual subjectivity behind the printed text, who is qualified with the knowledge required to pass judgement, the status to grant leave or assign responsibility. If modal expressions are frequent and highlighted, subjectivity is enhanced, the illusion of a 'person' with a voice and opinions; conversely, writing which strives to give an impression of objectivity, such as scientific reporting or certain traditions of 'realistic' fiction, tends to minimize modal expressions.

The argument so far leads to the conclusion that vagueness in language is to be taken into account. However, how can it be intentionally created and used for stylistic effects?

b. How vagueness is expounded

Vagueness or fuzzification results from a writer's judgement of what he or she is saying. Strangely enough, one way of creating imprecision is reasserting the validity of a proposition. Halliday (1985, 1990b) notes that whenever an expression of certainty is objectified, it introduces doubt. Thus when we say

Mary has left.

(Example 1)

the proposition expresses certainty. However in

I am certain Mary has left.

(Example 2)

an element of doubt is introduced.

Lakoff (1975:237) shows that the introduction of a **hedge**, or fuzzifying word¹⁹², may actually negate the literal meaning. For instance, consider the following statements:

Sarah is a spinster.

(Example 3)

Sarah is a regular spinster.

(Example 4)

Paradoxically, Example 4 presupposes the opposite of Example 3, that is, that Sarah is married. What the sentence affirms is that she presents "spinster-like" characteristics without actually belonging to the spinster category.

Lakoff offers an inventory of hedges (for a discussion of hedges and criteria for category membership, see Lakoff, 1975). We shall avoid classifications. Our orientation is rather to look at how words in context function as fuzzifiers.

Consider the following sentence from a text in Unit 4 (Appendix I):

From the window all that could be seen was a receding area of grey.

(Example 5)

Halliday (op.cit.) suggests that to each metaphor of mood corresponds a congruent, or literal, realization. Hence, for the metaphorical form in Example 5, we could have the following congruent realization:

Anita saw an area from the window.

(Example 6)

In the congruent realization, the syntax is expected [SVOA]. Examining the clause as message, we can notice that the subject coincides with the theme. From the perspective of clause as representation, there are two participants. **Anita**, or the conscious being, is expectedly the senser of a phenomenon in a transitive relation in which this senser performs a mental process.

In Example 5, these structures are subverted. Many elements function as fuzzifiers: the fronting of the adverbial, making it the theme; the agentless passive, so that the phenomenon is experienced but the senser is omitted; the modal **could**, destabilizing the certainty of the proposition; the indefinite pronoun **all**; the choice of the complex nominal phrase **receding area of grey** and its semantic overtones, the lexical choice itself (**receding, grey**), etc. Thus, in Example 5 the reader's expectation is frustrated and the text is qualified as "vague".

As suggested above, there are many ways of fuzzifying a text and avoiding precision. Pluralization, use of adverbials, listing, intense use of adjectives add to the possibilities. Pattern 3, however, focuses specifically on modals and semi-modal verbs as a means of textual blurring¹⁹³.

Modal verbs (eg. **could, would, must**) or semi-modals (eg. **used to, need, dare**) represent the interpersonal function in the clause structure, that is, they produce a particular effect a person wants to create on the audience (cf. Sinclair, ed., 1990, section 4.100).

Halliday describes modality as an instance of metaphorical form of expression. It is not our intention to enter the complexity of relationships and descriptions that the Hallidayan sociosemantic model of language offers for the expression of modality. Here we are only concerned with modals as a perceived surface effect responsible for blurring contours, that is, for making mental representations imprecise. We follow Halliday's orientation (op.cit.:345):

The purpose of analysing a text is to explain the impact that it makes: why it means what it does, and why it gives the particular impression that it does. But within this general goal we may have various kinds and degrees of interest in exploring this or that specific instance; sometimes a note to

the effect that the expression is metaphorical is all that is needed..."

c. Relevance of pattern to stylistics

Stubbs (1986) discusses many ways in which vague language can be an important stylistic tool. Its imprecision produces more spots of indeterminacy (see Chapters 2.6.2 and 4.4.1) thus demanding more of the reader's participation. The reader has to fill in gaps in order to make sense. As a result of variations in mental representations, interpretations tend to multiply.

From a pedagogical point of view, finding the congruent realization may help students determine the degree of vagueness in a text. An interesting experiment is to compare a film version of a novel like *To the Lighthouse* or *A Portrait of the Artist as a Young Man*, where the visual image will necessarily represent a closure in terms of interpretation.

Another effective application which has been used in Unit 4 of the Pilot Project is fuzzifying a factual, realist style. The tension that results from the confrontation between the congruent and the metaphorical realizations reveals the indeterminacy of the language and highlights the difference between Realist and Romantic verbal expressions.

6.2.4. Lexical Cohesion and Repetition

a. Relevance of pattern

The following examples typify the kind of questions found in the study aids sections of literary anthologies for undergraduate students¹⁹⁴:

Example 1:

The matched "Chimney Sweeper" poems differ vastly in tone.

(a) How do their last stanza contrast?

(b) Which is the more powerful poem?

Which poem do you find most impressive? Why?

Example 2:

The last two lines of Surrey's "A Lover's Vow" appear to explain the somewhat frenzied tone of the preceding lines. What is the explanation and how persuasive is it?

Words like **frenzied tone, powerful, impressive**, etc. are abstract concepts which may signal subjective responses. Example 2 is even more subjective in its use of hedges (**appear, somewhat**) in the enunciation of the question.

Unit 5 in the Students' Workbook (see Appendix I) aims at sensitizing students to the fact that stylistic effects can be accounted for and may result from lexical cohesion. Lexical cohesion holds the text together and is obtainable from the reader's interpretation of how items relate to one another¹⁹⁵. That is, atmosphere, tone, etc. are not arbitrary concepts. They result from the relationship set up by lexical items. Ventola (1987:131) points out that lexical cohesion systems generate dependency structures. She notes that the closer the items, the stronger the cohesive relationship. It is the critic's job then to find out this relationship.

b. How repetition is expounded

Lexical cohesion is part of what Halliday & Hasan (1976:278) call **reiteration**. They define:

Reiteration is a form of lexical cohesion which involves the repetition of a lexical item, at one end of the scale; the use of a general word to refer back to a lexical item, at the other end of the scale; and a number of things in between -- the use of a synonym, near-synonym, or superordinate.

Repetition can be a very complex phenomenon. The simple repetition of a word (that is, phonological and morphological identity) is often not that simple. Any word carries with it a record of its occurrence¹⁹⁶ and this record may be specific to a text. Metonymic writing (Lodge, 1977) depends on this capacity. Stuart Gilbert, for instance, notes that in the "Penelope" episode in *Ulysses*¹⁹⁷

... a close examination shows that there are certain words which, whenever they recur, seem to shift the trend of her musings, and might be called the "wobbling points" of her monologue. Such words are "woman", "bottom", "he", "men"; after each of these there is a divagation in her thoughts, which, as a general rule, revolve about herself

Work on collocation (Sinclair, 1966; 1991b) has demonstrated how a word does not signify alone. The creation of texture depends heavily on how words collocate, that

is, on how a lexical item relates to its environment. Halliday & Hasan (1976, 1990b:289) point out that

a lexical item carries with it its own textual history, a particular collocational environment that has been built up in the course of the creation of the text and that will provide the context within which the item will be incarnated on this particular occasion.

They argue that this environment determines the **instantial meaning**, or text meaning, of the item. In this case, a text creates a unique meaning.

Hoey (1991) presents a detailed, comprehensive and critical analysis of research on cohesion. He describes lexical cohesion as being signalled by repetition of a word, by synonyms, antonyms, paraphrases, and by collocation. His view is that cohesion contributes to coherence and produces textual organization.

Differently from Halliday & Hasan (1976,1990b:1), who define the text as a "unit of language in use", Hoey sees texts as constituted by networks of information. Instead of a semantic distinction, he shows how density of lexical repetition indicates the centrality or marginality of a sentence.

To Hoey, sentences are packages of information. His description aims at revealing the network of information which cross sentences and which will make the most relevant sentences stand out. The bonded sentences, that is, those obtained from at least three links with other sentences in the same text, will constitute the kernel of this text.

Hoey states clearly that his description is not applicable to all texts. He claims, for instance, that narratives are not amenable to this analysis as they are organized on temporal-spatial shifts and frame changes. The main application of his theory is to obtain abridgements (including summaries that can be performed by computers).

Nevertheless, this description can contribute to stylistics in at least four ways. Firstly, Hoey's taxonomy of repetitions helps the reader perceive what elements signal lexical links. Secondly, the idea that repetition "creates a framework for the recognition of instantial equivalences and of implied information" (1991:167) enables the reader to see each text as a unique realization. Thirdly, that repetition allows the reader to perceive semantic parallelism between apparently disparate sentences. Fourthly, looking for repetitions slows down the reading pace, forces the analyst to go backwards and forwards and to consider carefully how to produce links which are responsible for connected ideations.

c. Relevance of pattern to stylistics

We hold that investigating the repetitions in a text avoids impressionist responses and permits effect to be justified¹⁹⁸. By observing lexical cohesion a reader can explain how meaning is built, or how spots of indeterminacy are filled.

From a functional perspective of language, linking repetitions works on the ideational, the textual, and the interpersonal levels. On the ideational level, the production of logical meaning necessary for the awareness of patterns of repetition may bring about a new reality to the reader (experiential meaning) as he or she organizes the text into semantically related groups. On the textual level, repetitions signal reiteration and texture in the making. On the interpersonal level, they are indicative of the writer's choice. Thus, they reveal the writer's point of view and the reader's reaction to it.

Finding lexical relationships may be a strong stylistic clue to textual interpretation. The link is not in the text. It is an act of ideation which depends on the reader's

capacity of abstracting. By understanding how the lexis in a text links, the reader may draw a justifiable general statement about meaning.

What follows is an examination of Blake's "London" from an understanding of how the reader may create lexical links and draw justifiable general statements about "atmosphere" or "tone"¹⁹⁹. Whenever possible, Hoey's classification of repetitions is indicated. The poem can be found in Appendix I, Unit 5, together with exercises devised for students.

Lexical sets found:

a. *I wander*

I meet

I hear

I hear

Comment: The poet is placed as an external observer. His observations follow a sequence: from an apparently casual aimless walk ("wander") to meeting, experiencing through his senses, to recording his observations. It is a personal account and, therefore, a rhetorical claim for trust.

b. *each charter'd street*

every face

every cry

every Man

every Infant

every voice

every ban

every blackning Church

Comment: The overt parallelism reveals a detailed, all inclusive account that covers the city, the people, and the Institutions.

Lexical sub-groups

Man

Infant

b.i. *face*

Chimney-Sweeper

Soldier

Harlot

Comment: By means of instantial equivalence (hyponymy) all ages and representative professions from lower class, poor city dwellers become the object of the poet's attention.

b.ii. *cry*

voice

sigh

Comment: The reference to sounds of what he actually hears helps the poet make his rendition more concrete. It facilitates the reader's ideation and is more persuasive.

c. *charter'd street*
charter'd Thames
mind-forg'd manacles

Comment: By means of syntactic equivalence [man has chartered the streets] [man has chartered the Thames] [man's mind has forg'd the manacles], the poet reveals the responsibility of the agent of the picture he is describing.

Lexical sub-group

c.i. *streets*
Thames
manacles

Comment: Natural and unnatural facts that show the negative effect of man's action over natural environment.

d. *and mark (v.)*
marks of weakness
marks of woe

Comment: By means of syntactic transference from verb to nouns, the repetition of *mark* highlights the observation of significant external details that will contribute to the negative evaluation of the city. Here, *runs in blood* can be a paraphrase of *mark*.

Lexical sub-group

d.i. *weakness*
woe
fear

Comment: The lexical substitution in this subgroup indicates the internal condition of the city dwellers so that the group and the subgroup together provide a complete picture, with both internal and external features.

e. *curse*
blight
plagues
blasts

Comment: This group occurs at the end. By means of lexical substitution, the poet moves from the initial observation to an evaluation and final condemnation.

General statement: Blake evaluates and condemns the way people have used their intellectual capacity. By controlling natural phenomena and creating restrictive institutions, laws, and cities, they have only brought unhappiness upon themselves. It is a negative account of civilization. The text is thus an early voice of the ideas later expounded by the Romantic Movement²⁰⁰.

6.2.5. Pictorialisation by Typographic and Verbal Compatibility

a. Relevance of pattern

Pictorialisation by verbal and typographic compatibility means that the display of words on the page suggests a visual representation of the concepts these words intend to represent. In other words, there is a strong resemblance between what the word signifies and how it is pictured on the page. The word **pictorial** implies that the print is organized like a painting within the framework of the page. The temporal sequence of reading gives way to a two-dimensional spatial disposition of language²⁰¹. In this sense, the manipulation of graphological and verbal features -- a careful and deliberate act -- is constitutive of meaning²⁰².

It is outside the scope of this thesis to discuss the contributions and the merits of both Saussure and Peirce to the area of what is now called semiotics or semiology²⁰³, or the science of signs (cf. Culler, 1981, 1983; Widdowson, 1984; Hawkes, 1977; Greimas & Courtes, 1979)²⁰⁴. Here we can only present the briefest outline of the three types of signs: the **symbol**, the **index**, and the **icon**. Our claim is to establish the iconic function as the dominant element in typographic and verbal identity.

Early semiotics defines these three types according to the relationship the sign bears to actual entities in the real world. The symbol differs from both the index and the icon. It is an artificial sign, whereas the other two are motivated. The symbol is a social convention in which the signifier holds no resemblance to the object which it represents. For instance, the word *glass* represents the object in a conventional relationship. *Verre, copo, bicchière*, all these realizations represent the same object. According to Saussure, the signifier stands in an arbitrary relation with the signified.

The second type, the index, builds a causal connection with the object it represents. Hence, smoke indicates fire, a skull indicates danger. This relationship between sign and actual object has been questioned by Eco (1976). According to him, there is a complex hierarchy of subcodes. Some codes are weak and transient while others are strong and more stable. For instance, the colour *green* in reference to a traffic light is an international convention and hence a strong code. As a reference for Ireland, it has a weaker connotational meaning. Eco's theory brings out at least two important contributions:

- the degree of cultural sharedness of a sign.
- the relevance of context in establishing the significance of the sign.

Overlapping of signs also occurs. Culler (1981) points out that it may be difficult to establish a difference between symbol and index. According to him, if we consider all scientific investigations which are based on causal relations, we may be entitled to consider them as indexical. Secondly, an index may be conventionalized. Hence, red carpets, expensive cars -- items that indicate wealth, power, and success -- may be utilized by advertisers as symbols. In other words, the items have become conventionalized by social use. What advertisers imply is that, if one consumes the product being advertised, one may achieve those symbols as a consequence²⁰⁵. In this case, indices become both mythical and causal.

Fokkema & Kunne-Ibsch (1977:168) point out that this overlapping of signs, or what Eco calls *overcoding* may answer for the multiplicity of meaning in a literary text. They write:

The applicability of his (Eco's) theory to the field of literature also appears from his concept of "overcoding", i.e., the process by which, as a result of the convergence of various codes in a particular element, additional meanings are produced.

In the third type of sign -- the icon -- the signifier and the thing it signifies reflect each other. The drawing of a glass relates to the object by resemblance. This resemblance, however, is ultimately determined by cultural convention which affects interpretation. For instance, how similar to an actual glass is a drawing by Picasso? In other words, perception is ruled by cultural conditions (Wittgenstein, 1958; Gombrich, 1959; also, see Chapter 2).

Pictorialisation answers for the connection the readers establish between the graphic realization of a phonological sequence in a linguistic context and the concept they associate to it (see Widdowson 1992:163ff). Consider the following text:²⁰⁶

T E A C H
TEACH
~~TAHC~~
~~CEA~~
CHEA
CHEAT
C H E A T

Here, the gradual mixing of letters may be interpreted as a criticism of the practice of teaching. The graphological jumbling brings out a proposition which is compatible with what the reader assumes the writer meant in associating **teaching** with **cheating**. A student in the Pilot Project also perceived the shape of an hour-glass. So, to the proposition above, she added the concept of time. As time goes by, she said, one realizes a teacher may turn out to be a cheater. Layers of meaning are superimposed on the basic proposition.

If the same graphological arrangement were used, for instance, with the words PART and TRAP, the link would not produce the same immediate impact. The connection between the intention of the graphic display and the concept of the words involved would be incompatible or lie at a very remote level.

Pictorialisation depends on the degree of suitability between perceptual expression of form and the semiotic proposition.

b. How pictorialisation is expounded

Oral language occurs in time whereas visual language is mostly committed to space (for a comparative discussion between oral and written language, see Sinclair, 1985b). Pattern 5 utilizes this space and answers for the phenomenon of how code and materials become language. Graphic features of the text, regarded in relation to the whole context, are perceived as semantically significant²⁰⁷.

The materials involve typographic characters, including such distinctions as round, bold, italics, the size of paper, the physical distribution of letters, the justification of margins, capitalization, and so on. Leech (1969:47) notes that "capitalization, spacing and punctuation become expressive devices, not symbols to be used according to typographic custom".

This means that graphic realization is a meaningful element, like the Chinese ideogram, where the picture is part of the poem. Pound (1951, 1968:21) explains:

The Chinese ideogram does not try to be the picture of a sound, or to be a written sign recalling a sound, but it is still the picture of a thing; of a thing in a given position or relation, or of a combination of things.

In other words, the poem means what it pictures. Here are some examples of the work by students in the Pilot Project:

Example 1:

Process: I intended to combine the meaning of the word "different" to its graphic form. So I manipulated its shape by drawing each letter by a distinct form, so as to showing the relationship of combination between the meaning and the graphic form of the word.

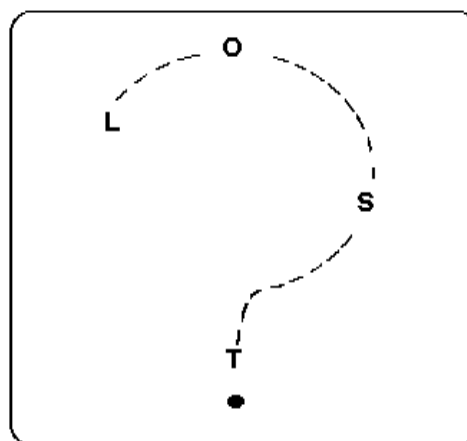
Example 2:

Process: I produced a drawing which means that "smoking" is really dangerous and can lead people to death. A skull was used instead of the letter o on purpose to frighten people. It has black and yellow teeth (note: the original is in colour), which are one of the effects that smoking cause. The skull still has a cigarette in its mouth because people who smoke hardly leave this vice. Each letter was drawn as one of these objects: M, K, J, N are made of cigarettes. S, G are made of pipes.

Example 2 is semiotically complex. The skull is a symbol of danger, the relation between **skull** and **smoking** is indexical, and the graphic representation is iconic.

Example 3:

No pertinent provided by the student for this. Therefore, we provide our own. out, they do not know where what to expect. The gradual established in the reading marked by the dashes. Readers



analysis was creation. As readers set they are or connections process are "walk" along

the signals indicated by the text. The eye moves, building the shape of a question mark, which comes to completion concomitantly with the identification of the lexical item. Together, the word and the typographic device create a question: Are readers really lost? The answer arrives in the ambiguity of the dot. It is both a final stop -- a closure -- meaning the end of the discourse, and part of a question mark -- an opening -- creating the expectation of an answer.

The paradox is installed. In completing the iconic reference for the word *lost*, readers perceive the ambiguity inherent in the text.

Unit 6 in the Pilot Project examines how a sign functions in a certain text. Eco (1976:49) explains:

a sign is not a fixed semiotic entity but rather the meeting-ground for independent elements (coming from two different systems of two different planes [expression and content] and meeting on the basis of a coding correlation).

c. Relevance of pattern to stylistics

The iconic relation finds its most significant expression in **concrete poetry**, an experimental verbal art form which flourished in the fifties and sixties, although Renaissance verbal pictorial art had already utilized these devices (cf. their use by 17th century poets, like G. Herbert; see Unit 6 in Appendix I)²⁰⁸.

Obviously, graphic realization is an intrinsic component of written texts (see Chapter 3.2). Culler (1975:161) notes that defining a text as poetic involves this kind of decision by the reader. He writes:

If one takes a piece of banal journalistic prose and sets it down on a page as a lyric poem, surrounded by intimidating margins of silence, the words remain the same but their effects for readers are substantially altered.

What the semiotic approach to literature implies is that texts may be defined according to the prevalence of one kind of sign over the others.

From this perspective, the works of Romantic inspiration, especially from the Symbolists to the Modernists, reveal a literature of symbolic orientation. Literature of indexical orientation finds its expression, for instance, in Marxist and Feminist tradition. Literature of iconic orientation is characteristic of detective fiction and 19th century French realism.

From a stylistic perspective, creating iconic verbal expressions stimulates students into considering how a text signals meaning by virtue of its own form. It helps students recognize that words do not hold intrinsic meaning, that is, "that there is no natural link between sign and concept" (Fokkema & Kunne-Ibsch, op.cit.:166). Instead, students realize that referential relations are contextually established by the reader. The compatibility between verbal expression and typographic display provides strong evidence for the indissociability of form and meaning.

6.2.6. Stretching Limits and Neologism

a. Relevance of pattern

Pattern 6 works on the brinks of the linguistic system. This statement assumes both the existence of a stable system and the possibility of its being unsettled. The tension created by this constant challenge to systematic order constitutes Pattern 6. Firth (1930,1966:108) writes that "both sense and nonsense are characteristic of the behaviour of flesh and blood in speech and writing." Like flesh and blood, sense and nonsense cannot be dissociated. One implies the other.

Words alone do not carry meaning (see Chapter 5.1). The authorial role in ascribing meaning is the traditional perspective which has been recorded, for instance, by Shakespeare (in *A Midsummer's Night's Dream* V.i.14-17):

**And, as imagination bodies forth
The forms of things unknown, the poet's pen
Turns them to shapes, and gives to airy nothing
A local habitation and a name.**

We hold that much of the meaning is attributed by the reader as he or she perceives the function of words in context (Wittgenstein, 1958; see Chapter 3.2). In either case, whether from an authorial or reader-oriented position, both sense and nonsense are regarded as constructions.

The difference between sense and nonsense is that a nonsense word adds a further dimension. Humpty Dumpty called it a **portmanteau**, where "there are two meanings packed up into one word" (Carroll, 1865, 1972:271). This expression has by now become a common phrase in modern dictionaries (cf. Frye et alii., 1985).

Instead of looking at these words in terms of the extra meanings they may carry, we prefer to consider their dual function. Portmanteau words are used both to express an idea and to draw attention upon their own making. For instance, a phrase like **buckly shuit Rosensharonals** (in Joyce's *Finnegans Wake*) is amenable to a series of interpretations (see Culler 1976,1990:113-114). It also challenges the reader into looking at how it was coined so that linguistic deciphering can take place²⁰⁹.

Nonsense is the language of subversion *par excellence*. We explain: adult native speakers believe they have mastered a system -- the accepted conventional way of communicating. However, in using language automatically, it is the system that exerts control over them. This situation can be reverted when we start experimenting with sounds, words, and meaning, that is, when the user turns off the "automatic" control. As the user plays with the system, he or she challenges it by creating new connections, new networks of signifiers. The system is thus unsettled.

However, this language of subversion is not a no-man's land. Signs are interpreted based on conventional patterns of thinking. For instance, in order to interpret Joyce's expression above, we must use the English sound system, the rules of word formation, of syntactical relations, of textual organization, etc. These established patterns serve as springboards into the new forms of linguistic creation. In other words, the process of interpretation operates on perfectly acceptable procedures.

Saussure attempted to trace relationships on the phonemic level in his study of anagrams. He believed Latin poets concealed proper names in their verses. For example, he saw in Lucretius's *De Natura Rerum*, which begins with a hymn to Venus, the word **Aphrodite** hidden in anagrammatic form (cf. Culler 1976,1990; Lecercle, 1985).

Culler questions whether Saussure was obsessed with a fixed idea of trying to find meaning at all costs, or whether he was "investigating another aspect of the functioning of language -- one that bypassed conventional linguistic codes and sign relations" (Culler, op.cit.:107).

Lecerle seems to believe in the second possibility. To him, Saussure was tilling fertile ground. Lecerle defines the logic of nonsense as *délire*²¹⁰, "a form of literature that specializes in crossing frontiers", where what he calls **the remainder**, or whatever is outside conventional linguistic description, is at work. He calls for "nomadic frontiers, a view of language as governed by a tension between rules... and rule-breaking" (Lecerle, 1990:25).

In a kind of parody of Shakespeare's distinction between the lunatic, the lover, and the poet (in *A Midsummer's Night's Dream* V.1.7), Lecerle (1985:5) writes that "The delirious patient and the inspired linguist, driven by conviction, both go beyond the bounds of common sense."

Lecerle believes that his theory of the remainder provides the critic with a better understanding of poetic language. He justifies (1990:116):

(it) provides a better approach to the poet's language, to the complexity and paradoxes of his relationship of means of expression that he masters and by which he is mastered. The remainder enables us to understand the workings of poetic imagination better.

This thesis attempts to use Lecerle's concept of *délire* as a pedagogical tool for sensitizing students to the possibilities of stretching meaning. Pattern 6 places the student in a borderline situation "where codes are tested, perhaps transformed, and meaning must be produced" (Culler, 1976, 1990:116).

b. How neologism is expounded

Pattern 6 focuses on the expression of nonsense by means of neologism. It may occur on the four levels of language:

On the phonological/lexical level, sounds create a pattern. For instance, in *abracadabra*, repetitive sounds accumulate, resulting in a new word, here functioning for incantatory effect.

On the grammatical level, words may be recategorized and attributed a different grammatical function. For instance, in *The haves and the have-nots*, a verb is made into a noun.

On the syntactical level, a clause constituent may perform an unusual function. In *He danced his did*, a verb is transformed into a direct object.

On the discorsal level, we may refer to the extract from Gray's novel selected for Unit 7 in Students' Workbook, Appendix I. In an apparent chaotic layout, the stream-of-consciousness narrative is framed by dialogues in an upside down order.

c. Relevance of pattern to stylistics

This thesis claims that **nonsense** is not simply creating a language which is confused, illogical, or unintelligible. It involves the presentation of ideas in a way that goes against the accepted linguistic norm. In order to make sense, the reader moves from the norm into unknown patterns.

Stylistics investigates this violation of structures for expressive purposes. Instead of labelling this breach as a heresy, stylistics legitimizes the non-conventional use of a structure.

Riffaterre (1953:282ff) points out that a neologism must be checked against the current practice of its time. In his words, "le vocabulaire d'un auteur ne peut être étudié qu'en fonction de celui de son époque" (idem:289). He adds that the word retains a *flottement de l'usage*, which means that the linguistic system hesitates until the item becomes current usage. This postulation allows him to describe the *néologisme psychologique*, or a word which is still perceived as a neologism and maintains its stylistic value much after the recorded date of its first usage.

Since readers are governed by what Culler calls the "semiological imperative", or the need to make sense (Culler 1976, 1990:116), breaking the rules serves as a compelling force where readers try to construct a coherent account. Due to the fact that the reader has difficulty in associating the word to an external referent, this is where contextual meaning is made more evident.

Pedagogically, the student experiences the substance of language in a concrete way. The following example illustrates how neologism can work in a LitAw course. The poems below have been written and analysed by students (without editing):

Example 1:

**Daisy is a prettenager
Everydaydaisy goes to school
Poor Dough goes nuts!
After her Doughnuts,
She leaves for school.
Daysindaysout everything scool!
DaisanDough are together again!**

Process: ...I wanted to cause joy...Then I started to modify the story into a poem, and I mainly played with the words and their boundaries. First, I worked with the name of the girl "Daisy" and with the noun "Days". I joined these two with "Every" to give the idea of something that doesn't stop, to show continuity. Second, I used the dog's name: "Dough" and his reaction to her departure going "nuts", excited, crazy to her breakfast "Doughnuts". Third, I took the continuity idea (Days in Days out = Everyday) and mixed with the fact that "Daisy is in Daisy is out" of the house. And after this routine everything is cool (scool = school). Finally, the last sentence of the stanza presents a whole unique word that says DaysanDough, and it's written in this way to emphasize the union of the two characters.

Example 2:

The Sucsexy Cockroach
**The cockroach dressedblue
She was ready to go out
The partea was mileaway
She took a bustrainplane
Everyone offered her their seateas
The cockroach is always a sucsexy
Wherever she appears to be.**

As no analysis of the process was offered, we provide our own. Here the student played mostly with lexical neologism. **Partea** indicates a party where tea is served. **Sucsexy**, a portmanteau word made of *success* and *sexy*. **Bustrainplane**, another portmanteau word, emphasizes the distance of **mileaway** through the complexity of the means of transport

used. Irony results from the poem being told from the cockroach's perspective. **She**, the female bug, interprets other people's offering their seats as an indication of her success as a sexy "person".

These examples illustrate how, in creating neologism, students enjoy the pleasure of manipulating and mastering a system of their own making. They also feel that they are able to subvert a system which, at first, exerts pressure on them. In interpreting, students are stimulated into finding connections which may justify the sense they make of a certain language arrangement. For further example, see Appendix III.

Stylistics investigates how the means which allow the boundaries between sense and nonsense to be trespassed can be explored for aesthetic purposes.

6.2.7. Time and Tense

a. Relevance of pattern

Time is a constant feature in most written statements. A writer usually reveals where he or she stands in relation to this notion. In commenting about an extra-textual situation in the past, present or future, the writer necessarily signals his or her position regarding that situation. Pattern 7 looks into the effect that shifts in time may produce.

b. How time is expounded

Time can materialize in a sentence by means of verbs, clauses, and/or various different adjuncts (e.g. *tomorrow*, *now*, *often*, etc.). These devices represent the cues of time within a sentence.

Unit 8 in Students' Workbook (Appendix I) focuses on the linguistic element which clearly indicates time -- namely, **tense**, "a set of verb forms that indicate a particular point in time or period of time in the past, present, or future" (Sinclair (ed.) 1990: 245).

For stylistic purposes, we do not examine a tense singularly. Tenses do not *mean* outside context. It does not help interpretation to say that "*I'm hungry*..." indicates a present state", or that "*That house has been empty for ages*" indicates a "state leading up to the present time"²¹¹. In these examples, tense is regarded in relation to a real world situation. Here, we regard tense in the formal context of situation.

We understand a text by building relations, like "a Martian visitor (who) would best understand this 'meaning' by watching what happened before, during, and after the words were spoken, by noticing the part played by the words in what was going on" (Firth, 1930, 1966:110).

Firth defines a situation as "a patterned process conceived as a complex activity with internal relations between its various factors" (idem, *ibid.*). In this case, tenses "actively take one another into relation". In other words, tenses are mutually significant.

In addition, shift in tense is closely linked to discourse type. In reference to research carried out on the function of tense and aspect in discourse, McCarthy (1991:60-61) indicates how tense is closely linked to the organization of the message. He points out how in "hot news" texts the topic sentence is realized in the present perfect whereas the comments or details are conveyed in the simple past. The same occurs to biographical sketches and obituaries. In abstracts in *The British Medical Journal*, for instance, the past simple predominates, whereas the present perfect is used in the introduction sections. When reporting the research itself, that is, the "narrative" bit, the tense shifts back to the past simple. McCarthy argues that "by examining natural data, discourse analysts are able to observe regular correlations between discourse types and the predominance of certain tense and aspect choices in the clause"(idem:59).

However useful these investigations may be, they go beyond the scope of our course on LitAw. Here, the objective is to make students aware that shifts in tense are significant and that in order to perceive these shifts, patterns must be established. Rather than concentrate on what a specific tense may mean in isolation, the student learns how to build on the meaning that results from verb patterns set in a relation of similarity or contrast.

c. Relevance of pattern to stylistics

What we need to know is how the effect created by shifts in time produces meaning. To this purpose, Pattern 7 is constituted by time markers and verb tenses set in relation to each other in discourse.

Unit 8 highlights how contrasts or similarities in time signalled by changes in or repetitions of tenses and other time markers create meaning and can thus be considered for stylistic effects. For examples, see Appendix III.

6.2.8. Perspective and Free Indirect Discourse

a. Relevance of pattern

Pattern 8, which we can also call **The Multiple Voices in the Text**, derives from an adaptation of the descriptions offered for modes of speech presentation in current grammars. This second title actually comes from Barthes (1974:41-42), who suggests that we should

listen to the text as an iridescent exchange carried on by multiple voices, on different wavelengths and subject from time to time to a sudden *dissolve*, leaving a gap which enables the utterance to shift from one point of view to another...

Pattern 8 is obtained by what is called free indirect speech (FIS)²¹², which is generally characterized as "an intermediate between direct and indirect speech" (Halliday, 1985,1990:238). Quirk et alii. (1972, 1980:789) support this view. They write:

Free Indirect Speech is a half-way stage between direct and indirect speech, and is used extensively in modern narrative writing. It is basically a form of indirect speech, but (1) the reporting clause is omitted (except when retained as a parenthetical comment clause), and (2) the potentialities of direct-speech sentence structure (direct question forms, vocatives, tag questions, etc.) are retained. It is therefore only the backshift of the verb, together with equivalent shifts in pronouns, determiners and adverbs, that signal the fact that the words are being reported, rather than being in direct speech ... Very often, in fiction, free indirect speech represents a person's stream of thought rather than actual speech.

We postulate that free indirect speech (here reglossed as free indirect discourse -- hence FID²¹³) is not a transformation of either of the two modes. It is an independent form of expression. We make the following claims:

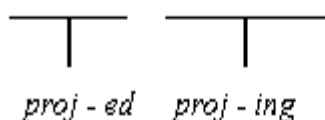
- FID is not an intermediate stage or a "hybrid form" (Short, forthcoming) in which formal modifications are made. Different formal manifestations necessarily imply different meaning.
- In FID different voices with different status are set in a polyphonic representation²¹⁴.
- There are linguistic features which are specific to FID.
- FID can be used for stylistic effects.

The option for FID instead of FIS reflects our preference for the ambiguity the first denomination retains. The term *discourse* comprises both spoken and written manifestations. Hence FID is the mode of polyphonic representation, that is, of the co-existence of different voices in a text.

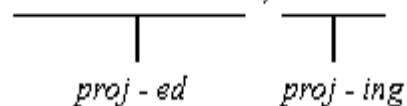
Halliday calls the three modes of representation (direct, indirect, and free indirect speeches) a *projection*, that is, "the logical-semantic relationship whereby a clause comes to function not as a direct representation of (non-linguistic) experience but as representation of a (linguistic) representation" (op.cit.:227-8). He also describes them on clausal level. To our purposes, we must add to this projection the possibility of discriminating which voices are being represented in larger chunks of text.

According to Halliday, in direct (or quoted) speech, the projecting clause is a verbal process, one of saying, and the projected clause represents that which is said. For example,²¹⁵

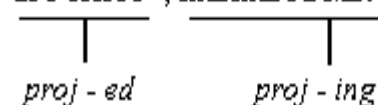
"Come on", said Lucrezia.



"Now we will cross", said she .



"It's toffee", murmured Mr. Bowley ---



In these examples, the reader can "hear" two distinctive voices in separate clauses -- that of the narrator (in the projecting clause) and that of the character (in the projected clause; a wording). The reader is able to draw the boundaries between who is speaking. Each voice is heard discretely, one at a time. The relationship between the voices is that of parataxis. They are represented on two clauses of equal status and have independent existence.

In indirect speech, the projected clause is not a wording. Halliday calls it a *meaning*. He explains that "when something is projected as a meaning, we are not representing "'the very words' because there are no words" (idem, ibidem). For instance, in

Elizabeth rather wondered, as they did up the parcel, what Miss Kilman was thinking

the narrator projects a mental process of one of the characters (**wondered**) but only one voice is heard -- the voice represented by the projecting clause. The relationship between character and narrator is that of hypotaxis. The character's voice depends on and is heard through that of the narrator. Character and narrator have unequal status. The narrator dominates.

FID depends on a more complex relationship. FID is characterized by an orchestration of voices. Based on Bakhtin's model, Fowler (1989:79) explains that "the musical metaphor of polyphony refers to the co-presence of independent but interconnected voices" which, as he claims, results from the dialectical relationship between opposing voices.

Without going into the ideology of the dialogic structure proposed by Bakhtin, we shall retain the notion of polyphonic representation within the discourse in order to establish FID as a distinct mode and not an intermediate stage between direct and indirect speech.

Pascal (1977) observes that in FIS narratorial presence is communicated through vocabulary and idiom, through the composition of sentences and longer passages, and through the context.

Although he limited his investigations to the study of syntax, Pascal's idea of a dual voice present in the text is highly valuable. However, Pascal only distinguished one voice at a time. He did not advance the idea of a *duologue*, of voices being presented simultaneously.

In FID the reader is able to detect the voices of both the narrator and the character(s) at the same time. Like monitoring the balance button of a stereo amplifier, the

writer may suggest the predominance of either the character's voice or that of the narrator. Differently from the other modes of representation, in FID both voices are audible simultaneously.

FID can be represented as the following cline of voice predominance:



Diagram 6.2. Cline of voices

b. How FID is expounded

Starting from the phatic function of language ("I am communicating with you"), Sinclair & Coulthard (1975) suggest the following questions, which we can use to identify the voices in a text:

- who is communicating?
- what is he or she communicating?
- why is he or she communicating?

These questions may lead to the following table of functions:

narrator	character
informs the reader	makes claims, evaluates (him/herself, another character or a situation), doubts, desires, expresses emotions, etc.
evaluates the character or the situation for the reader.	

Table 6.3. Narrator/Character functions

The narrator is then in a position to evaluate the character's attitudes and reactions. This is where irony, pity, etc. can be detected in the narrator's voice.

FID allows the character more liberty of expression. Some contemporary authors make use of device and even allow their characters to take control over the narrator (cf. Alasdair Gray's 1981 novel *Lanark*).

We shall illustrate how the voices occur in discourse with the passage from Joyce's "Eveline" we selected for the Pilot Project. We shall only point out the recognizable patterns. The latent pattern that makes up the narrator's evaluative function is only discernible in a larger chunk of text. This passage is in line with his negative evaluation of the character -- another inhabitant of Joyce's "center of paralysis", that is, a character unable to change a situation. The sentences have been numbered and separated to facilitate analysis. In the original, they occur sequentially:

- 1. She stood up in a sudden impulse of terror.**
- 2. Escape!**

3. **She must escape!**
4. **Frank would save her.**
5. **He would give her life, perhaps love, too.**
6. **But she wanted to live.**
7. **Why should she be unhappy?**
8. **She had a right to happiness.**
9. **Frank would take her in his arms, fold her in his arms.**
10. **He would save her.**

Symbols: **NV** = narrator's voice
 CV = character's voice
 Sn = sentence number

- **S1.** Past tense and third person indicate **NV** and the reader is informed of a past event. **A sudden impulse of terror** points towards emotion and signals that the **CV** is about to come.
- **S2.** Expectations confirmed. Exclamation marks **CV** (emotion) and **NV** is obliterated.
- **S3.** Balance starts to be restored with the use of third person singular (**NV**) but the exclamation is still kept.
- **S4.** The imperfect **would save** indicates desires (**CV**) but there is also an **NV** marker (third person reference).
- **S5.** The imperfect **would give** remains (desires - **CV**). **Perhaps** indicates doubt (**CV**). There is still an **NV** marker (third person reference).
- **S6.** **But** expresses an evaluation of the situation (**CV**) with a change of opinion. **Wanted to live** is both **CV** and **NV**, both information (past tense) and desire.
- **S7.** This interrogative form is a strong indication of **CV** as it is not a question. It is an evaluation. The **NV** marker is still present in **she**.
- **S8.** **a right to happiness** expresses a claim (**CV**); **NV** continues in **she** (third person reference).
- **S9.** The lexical repetition **in his arms** indicates this is not information but a desire (**CV**); the imperfect intensifies the **CV**, but is counterbalanced by the repetition of **her** (**NV**).
- **S10.** **would save** is a lexical repetition of **S4**. What applies to **S4** applies to this sentence. However, repetition of form is not a repetition of meaning. In this case, the repetition strengthens the case for **CV**.

The analysis above can be expressed in the following chart of voice fluctuations:

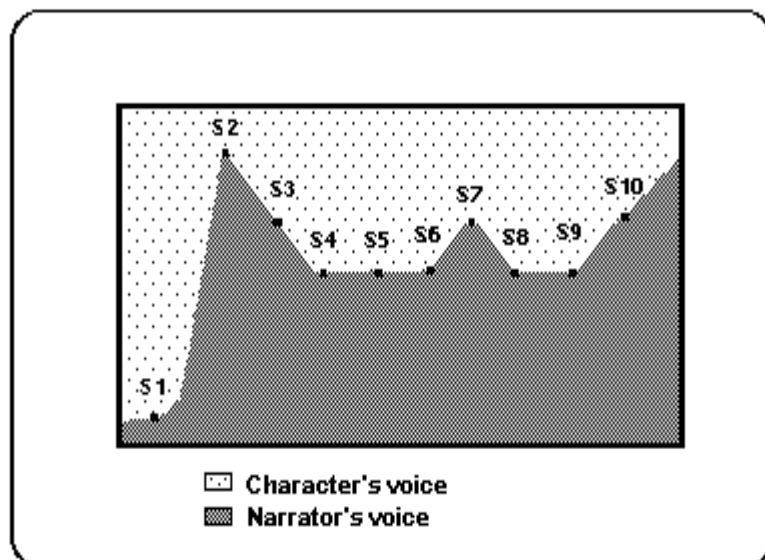


Diagram 6.3. Voice fluctuations

c. Relevance of pattern to stylistics

FID is very common in everyday situations where narrative is involved as, for instance, in jokes or story-telling. In addition, its frequent use in modern novels results from the difference in perspective which characterizes much of twentieth century thought.

Among other developments, the advent of the cinema, with its flashbacks, zooming, cuts, montage, slow motion, etc. changed the way an object is perceived and enabled the viewer to observe the multiple facets of one single phenomenon. Artistic manifestations like Cubism rely heavily on this possibility.

The reason for the extensive use of FID in modern narrative writing is explained by the fact that it is the mode of writing which best expresses the multilayering of voices and by implication, the multiplicity of perspectives.

6.2.9. Comparison and Matching Relations

a. Relevance of pattern

Why do people compare? We build comparisons in order to structure our arguments and bring out a different perspective about the object under discussion. In their study on metaphor, Lakoff & Johnson (1980:5) affirm that "The essence of metaphor is understanding and experiencing one kind of thing in terms of another". Thus, comparing is building a significant pattern of conceptualization. Lakoff & Johnson add (*idem, ibidem*):

New metaphors are capable of creating new understandings and, therefore, new realities... Aesthetic experience ... (occurs)... whenever we take note of, or create for ourselves, new coherences that are not part of our conventionalized mode of perception or thought.

b. How comparison is expounded

Comparisons can be conveyed in many ways (eg. metaphors, similes, etc.). Pattern 9 is constituted by a specific type of comparison, one which results from textual organization.

In their studies on how texts are organized, Winter (1977; 1986) and Hoey (1983; 1991) describe the semantic relationship of clauses. They explain how clauses relate to one another within the general textual framework. According to Hoey (1983:18) a **clause relation** is "the cognitive process whereby we interpret the meaning of a sentence in the light of adjoining sentences".

Both Hoey and Winter see clauses as being either **sequenced**, that is, logically or temporally ordered, or **matched**, that is, when segments of a text are compared or contrasted with one another.²¹⁶ These relations create patterns of discourse organization, which they call **problem-solution** patterns and **matching relation** patterns. A problem-solution pattern is basically composed of three elements: a statement of the problem, a response, and an evaluation of the effectiveness of the response. Matching relation patterns are the outcome relations of compatibility and contrast.

Unit 10 highlights the latter form of textual organization. It is out of the scope of this thesis to describe this pattern in detail. We refer to Hoey's analysis of a poem by John Donne (in Carter & Simpson, 1989:122-136) as an example of a stylistics approach to discourse organization.

An objection to Hoey's and Winter's descriptions comes from Crombie (1985). She prefers not to root relations in the grammar of the clause and argues that Hoey and Winter define clause relation as a linguistically encoded cognitive process rather than a relationship between sentences. Crombie avoids the linguistic distinction between clause and sentence, opting for a cognitive approach to explain inter-propositional coherence. She specifies that matching relations involve comparison of two things, events or abstractions. In distinguishing between simple contrast and simple comparison, she writes:

Simple contrast is a relation involving the comparison of two things, events or abstractions in terms of some particular respect of which they are different. Simple comparison is a relation involving the comparison of two things, events or abstractions in terms of some particular in respect of which they are similar.

What is relevant to us is that Crombie (1989:113) agrees with the notion that "semantic relations between discourse segments underlie all coherent stretches of language". However, she opts for a different terminology. Instead of sequenced or matched relations, Crombie refers to **logico-deductive argumentation** and **associative semantic relations**.

Pattern 9 results from the notion that comparison and contrast can be obtained by setting two sentences in a special relationship in which these sentences depend on each other for meaning. It points out how this "beyond the clause" relationship is established and signalled linguistically by means of repetitions and other cohesive devices found in the clause.

c. Relevance of pattern to stylistics

Unit 10 looks into how discourse can be organized in terms of sentence relations and the extent to which these relations are stylistically significant. Hoey (1983:170) notes that in order to understand a literary text, the reader has to perform more than one reading. He considers literary discourse a more complex text. His argument is that in most types of writing, signalling is unambiguous and clear, whereas in a literary text,

a great number of relational possibilities may be realized than in non-literary writing of the same length, and focusing on certain relations may be less clear-cut. For such works extra readings would reveal extra unexpected connections and would lead to the detection of other focal relations than those noticed on the first reading.

Pattern 9 helps students see a text as one unit organized in terms of multiple clause relations. It accounts for how these relations generate meaning and thus adds another tool for clarifying the complexity of poetic discourse.

6.2.10. Register Mismatch

a. Relevance of pattern

Halliday (1978, 1990a) informs that the linguistic notion of **register** was first used by Reid (1956) and later developed by Halliday, McIntosh & Stevens (1964) and Ure (1971) (cf. also Fowler, 1971:92; de Beaugrande, 1991). To Ventola (1987) register is realized as a linguistic progression in a social activity. Halliday & Hasan (1976, 1990) explain that register is constituted by the relations established between the linguistic features of a text and the situational context it refers to. For instance, a person in the role of a lecturer will tend to use a more formal language in an academic paper than in a note he or she may write to a teenage offspring. In Halliday & Hasan's words (op.cit.:23):

register is the set of meanings, the configuration of semantic patterns, that are typically drawn upon under the specified conditions along with the words and structures that are used in the realization of these meanings.

This definition implies a consensual recognition or shared knowledge (in our case, between the reader and the writer) of patterns of meaning which are revealed in certain words and structures. Consequently, these patterns of meaning are assumed to be culturally bound.

Later, this lexicogrammatical realization of register is transferred to a more abstract level. Halliday (1978, 1990a) redefines register as a possibility, a potential, rather than a concrete realization. He writes:

A register can be defined as the configuration of semantic resources that the member of a culture typically associates with a situation type. It is the meaning potential that is accessible in a given social context.

The cultural component here is even more strongly evident. From the Hallidayan perspective, a reader, who belongs to a group, is expected to recognize a certain situation from the author's choice of variety of English. If the author writes **And how are we today?** the reader may recognize the patronizing tone of the nurse or doctor/patient relation and bring to mind the set of conditions which enables this invitation to initiate a dialogue. In other words, the writer will draw on the linguistic choices that have been made conventional in those circumstances. Likewise, the reader is expected to recognize and react to these choices (cf. also Montgomery et alii., 1992; Durant & Fabb, 1991).

What becomes evident from this definition of register is its predictive aspect (see Sinclair, 1991c). The reader anticipates the situational factor which has determined the selection from the linguistic system and then checks whether the implied situation has been actualized.

Having said that, we anticipate the problems an EFLit student may come across. In an EFLit context, pedagogical strategies require that the situational context implied should be known to students. For instance, Montgomery et alii (op. cit.:55) affirm that

The term "register" is used by linguists to describe the fact that the kind of language we use is affected by the context in which we use it, to such an extent that certain kinds of language usage become conventionally associated with particular situations. Our tacit knowledge of such conventions of usage enables us to judge whether what someone says or writes is "appropriate" to its context.

The problem for an EFLit student is identifying the degree of assumption that **tacit knowledge** requires. Hardly would the group of Brazilian students in the Pilot Project

react to the example of the British Rail guard announcement Montgomery et alii quote. We also doubt whether these students would be able to distinguish the different registers which are so central to certain sections of Joyce's *Ulysses*.

Of course EFLit students can always be shown the different registers. This decision, however, would foster the approach to teaching we try to avoid (see Chapter 7.1.1). We postulate that students should respond to texts rather than be directed towards responding (see also Marshall, 1979).

Exposure here becomes a central question (Chapter 2.7.1). The more the students experience variety of registers, the sharper will their perception of the situation be. An introductory course, however, should rely on more easily identifiable situations. Unit 11, for instance, utilizes a cookbook situation where expectations of lexical items related to food and containers, or verbs on how to process and enjoy the food, are typical.

In sum, the selection and perception of linguistic features which reflect a situational context depend largely on sociological criteria. Exposure to different registers will widen the possibility of recognition of these semantic patterns. This recognition will possibilitate the evaluation of the relevance of register to a certain text.

b. How register mismatch is expounded

Having defined and discussed the notion of register and its cultural implications, we arrive at the pattern realized by register mismatch (cf. also **re-registration** in Carter & Nash, 1983:129,140; Carter, 1987:115-117; Simpson, 1988).

Mismatch occurs when the register utilized is unexpected. To be able to understand the occurrence of an unexpected register, the Hallidayan model proposes a study of discourse in its social setting. The reader should consider three aspects of the situation:

- the **field** of discourse, or the subject-matter and its institutional setting.
- the **tenor** of discourse, or the attitude or position of the participants involved. This includes the relationship established between the reader and the writer, the writer's assumptions about the audience, etc.
- the **mode** of discourse, or the rhetorical channel, that is, how the text is expressed linguistically. This includes choice of genre, the printing context, etc. (see Unit 12 in Appendix I).

Based on this model, we can understand the ironic effect created by register mismatch in the Monty Python passage selected for Unit 11 in the Students' Workbook (Appendix I). Here the tenor and the mode are compatible with the situation. The writer instructs the readers on how to cook something. Lexical choice reflects the situation. The field, however, is discrepant²¹⁷. English or Brazilian readers would not regard a rat as an edible item. The reader is forced to re-interpret the text from a different angle. The writer's intention is not to teach how to cook, but to make the reader laugh. Another example follows: In his analysis of Evelyn Waugh's "Mr. Loveday's Little Outing", Bex (1988:131ff) notices that the comic effect is produced by the discrepancy between the act (the field) and the language used to report this act (the mode).

Mismatch also occurs from discrepancy in formal meaning. Much of the puzzling effect of Doris Lessing's *Briefing for a Descent into Hell*²¹⁸ depends on register switching. The book is intended as a novel. The first words, however, reproduce the contextual situation of an admittance sheet to a hospital. The passage which follows is built according to the techniques of a stream-of-consciousness novel, interspersed with medical reports. Other registers are also "thrown into" the novel: a play-script-like dialogue between the patient and the doctor, the patient and the nurse, poems, letters, etc. This collage of registers forces the reader to look for a unifying semantic thread that will tie these parts together.

The examples above illustrate how register mismatch can be seen from a relational perspective. It is not concerned with how language reveals a type of situation. Pattern 10 results from the discrepancy between the linguistic choices and the situation implied by the text, and between the different registers within the same text.

c. Relevance of pattern to stylistics

Sperber & Wilson (1986:16) argue that

a speaker who intends an utterance to be interpreted in a particular way must also expect the hearer to be able to supply a context which allows the interpretation to be recovered. A mismatch between the context envisaged by the speaker and the one actually used by the hearer may result in misunderstanding.

This statement suggests that mismatch has negative implications. Challenging the Gricean maxims of communication which guide much of Sperber & Wilson's work, literary texts utilize this mismatch for stylistic purposes. As readers notice the inconsistency between the linguistic choices and the situational context presented, they are led to re-interpret the text. The initial misunderstanding, however, is not effaced. It remains as part of the meaning. Much of the irony of Swift's "A Modest Proposal"²¹⁹ depends on the co-existence of these two levels of interpretations.

Carter (1987:202) points out the need for the reader's recognition of mismatch (cf. also Nash 1989:31). He writes:

If, for some reason, the hearer/reader does not realize from his pragmatic knowledge that there is a clash between circumstances and the speaker/writer's assertions, then the assertion will be accepted as true.

The following example illustrates what happens when readers do not recognize register mismatch. During the development of this thesis, this poem was handed out to different readers:

The Dying Airman

**A handsome young airman lay dying,
And as on the airfield he lay,
To the mechanics who round him came sighing,
These last dying words he did say:**

**"Take the cylinders out of my kidneys,
The connecting-rod out of my brain,
Take the cam-shaft from out of my backbone,
And assemble the engine again".**

Readers were not told where this poem was copied from since we believed their responses might have been influenced by the knowledge of the title of the collection it belonged to²²⁰. The responses to this anonymous poem can be set in two groups. One group (native and non-native English speakers with little or no academic literary training) did not perceive any register mismatch. To them, the poem was a description of the death of an airman. It showed how this airman wanted desperately to get the plane back into shape again so that the war could be won. According to these readers, the poem had patriotic overtones. Here was a young man ready to give parts of his body to a cause.

The second group of readers (British and Brazilian teachers of literature) pointed out the juxtaposition of two registers, namely that of a romantic song in the first

stanza, and the one of a technical language of instructions in the second stanza. Although not necessarily justifying their interpretations in linguistic terms, this group of readers pointed out the irony that results from the inconsistency of registers. They regarded the poem as a parody and interpreted it as a bitter comment on the waste of life that war brings about. Aware of intertextual overtones, some of these readers supported their interpretation by suggesting it as a parody of *The Tarpaulin Jacket*²²¹.

This example suggests that register mismatch may be a powerful device for the production of subtle meaning (cf. Montgomery et alii. 1992:141-2; Adamson, 1988). Simpson (1988) shows John Le Carré's use of the language of travelogue in a novel. Carter & Nash (1982) reveal how Henry Reed's "Naming of Parts" relies on the mismatch between instructional register of military discourse and references to the surrounding nature expressed from a romantic point of view. Short & Candlin (1988) look into a poem by Leonard Cohen from the perspective of the language of passports.

These example indicate that poetic language is not characterized by any special use of register. It is the apparent inconsistencies of register which enables new associations to be created.

Notes

CHAPTER 7

LITERARY AWARENESS IN THE CLASSROOM THE PILOT PROJECT

7.1. Introduction: Setting the Ground

Though we draw from all sources, we hope our method will not, on that account, be depreciated. Machinery is perfected and codes of laws are framed by successive improvements and by accumulated efforts of many individuals; so, in education, a method, to be complete, must be eclectic.

C. Marcel ²²²

In order to prepare the ground for the description of the Pilot Project in Chapter 7.2, the present section and its subsections discuss some of the theoretical issues that enabled us to draw from language teaching practice and work towards the development of a methodology for LitAw which would be both language-based and reader-oriented.

7.1.1. Changing roles and attitudes

The scarce number of coursebooks for the teaching of literature reflects a reluctance to translate theory into practice as far as literary studies are concerned. Is it because of the nature of these studies? We suggest at least two possible political reasons for the present difficulty of integrating theory and practice.

The first argument is grounded in history. At the end of the 19th century, when literature became institutionalized, the new academic professional reacted strongly to the previous concept that anybody could teach literature. Reading was a leisurely activity and it was believed there was no need for a systematic study of how interpretation was arrived at. It was a matter of opinion.

Secondly, the fact that students were not normally encouraged to venture into their interpretations before they had read an authoritative piece of criticism conveniently

reasserted the superiority of the "professionals". Building his evidence on an 1874 publication, Graff (1987:55) describes how the new professor of the turn of the century **thought of himself as an "investigator" devoted to advancing the frontiers of knowledge through research, and his loyalties went to his "field" rather than to the classroom dedication that had made the older type of college teacher seem a mere schoolmaster. The prototype of the new professional was the German university professor in his lecture room or seminar ... "a specialist ... not responsible for the success of his hearers. He is responsible only for the quality of his instruction. His duty begins and ends with himself".**

A power relation was then established in the classroom. In line with the general educational theory and practice of that time, the teacher and the critic were the sources of information, the dispensers of "correct" interpretations, whereas the students were the passive recipients (see Strickland, 1990). Yet there were some very few isolated voices who affirmed that

The best informed teachers and the most elaborate methods of instruction can impart nothing of importance to the passive and inert mind. If even a learner succeeded in retaining and applying the facts enumerated to him, the mental acquisition would then be vastly inferior to that which the investigation of a single fact, the analysis of a single combination, by his unaided reason, would achieve (Marcel, 1853, vol. I:203).

Marcel was not heard. In addition, outside the classroom, the interpretation of the native speaker was generally considered "better" than that of the foreign language speaker. More than one century later, the same play is still being re-enacted in many literature classrooms. Silenced by years of teacher-centred practices and dominated by the power of more knowledgeable critics, many students remain inactive.

The reason the traditional role of the teacher and that of the student should be reappraised is simple: this situation has not proved to be effective. Rather than purveyors of ideas, we prefer to see teachers as sharers, or, in Eagleton's words "custodians of a discourse" (1983, 1988:201). This means teachers may guide, give orientation, but should avoid pronouncing final words. As MacCabe (1985b:46) rightly points out, "We can always tell the teacher from the taught but in the best of cases they should all be learning".

Until recently, literary studies have been concerned with meanings, with contents, with truths. The time has come for the teaching of how interpretations are arrived at and how to be articulate about them. It is important to stress that a course on LitAw is not a substitute for literary studies. It offers an initiation into them, or a re-thinking of *how to do* literature. It is a beginner's course, not on what certain works are about, but on what their texture consists of. Eagleton (1983, 1988:201) indicates the route to follow. He notes that

Becoming certified by the state as proficient in literary studies is a matter of being able to talk and write in certain ways. It is this which is being taught, examined and certificated, not what you personally think or believe ... Literary studies, in other words, are a question of the signifier, not of the signified.

Before Eagleton, Barthes (1974:4) had already suggested that "the goal of literary work... is to make the reader no longer a consumer, but a producer of the text".

Hence, the theoretical ground had already been established. What was needed was practical application. This is what the Pilot Project set out to do.

7.1.2. The Need for a Method

In this section we shall justify why our course on LitAw brought together insights from a reader response approach to texts and from language teaching practice.

The general picture reveals that it is very difficult for many students to penetrate the world of texts and of academics. Most literary theoreticians assume that sensitivity develops from contact (see Chapter 1.2) and do not exercise a way into texts. Those few textbooks which deal with recognition of stylistic patterns still overlook **how to do** texts (cf. Carter & Long, 1991). For instance, Cummings & Simmons (1983) write in the preface to their coursebook:

The aim of any introduction to literature is to develop in a student an intuitive sense for what is important in a work, and to teach him to find and describe the sources of his intuition in the text. The object of this book is to develop the student's intuition of what is significant in the language of literature, and to teach him how to describe literary language stylistically.

In other words, they stress an intuitive approach to the patterns in the text followed by a description of those patterns. Their claim that by the end of the course the student **should know... what the text means** (idem::xv) reveals what Cummings and Simmons think the purpose of literary studies should be -- the discussion of ideas.

This assumption fosters the development of an academic **intellectualspeak** (Graff 1990:823) or **Lego-metalanguage** (Duff & Maley, 1990,1992:10) which alienates many beginning university students, who then remain outside the mainstream of textual debate throughout their course of study. The few students who join in are the ones who manage to train themselves spontaneously.

The teaching of literature has been an area of opinion rather than precision. Its history -- from the Arnoldian touchstones through Richards' Practical Criticism to contemporary deconstructive, feminist, etc. practices (Durant & Fabb 1990, Eagleton 1988) -- does not offer a **method** which can account for the selection, gradation, presentation, and replication of the material (see Muyskens, 1983). Halliday and Hasan (1985,1990a:vii) point out:

The disinclination to take seriously the study of the rhetorical organization of texts gave rise to a surprisingly unhelpful tradition for the teaching of literature.

Barthes (1974:4) comments that this tradition has left the reader in a passive position. He writes:

instead of functioning himself, instead of gaining access to the magic of the signifier, to the pleasure of writing, (the reader) is left with no more than the poor freedom either to accept or reject the text.

Hence, our course on LitAw would have to involve the student's active participation. In designing such a course, a reader-oriented approach to the text offered a healthy option for a methodology²²³. The method would thus take the following course of action: from an initial experience of reading towards a stylistic approach to the text, that is, towards an investigation into the language of the literary text. The focus had to be on how patterns in given texts triggered responses in the reader during the act of reading, how the

reader produced a conscious account of this phenomenon, and how he or she created another text based on similar patterns²²⁴.

Some of the publications which claim to offer a methodology for the teaching of literature are more oriented towards teaching the workings of the language as a system rather than teaching how this language works to create certain effects in a specific text (Gower & Pearson, 1986; Carter & Long, 1987; see also Appendix VII). Consequently, in interfacing language and literature, they emphasize the teaching of literature in language classes. Our course on LitAw needed a method that was simple, systematic, ordered, replicable, that focused on stylistic patterns, and that was intended to be taught as part of the literary syllabus. Such a method was to be found in the practice of language teaching.

7.1.3. Historical Grounds for a LitAw Methodology

Our search for a method led us to look into practices of language teaching. Mackey (1965,1981:151) classified language methods into at least fifteen different practices (the direct, the natural, the psychological, the phonetic, the reading, the grammar, the translation, the grammar-translation, the eclectic, the unit, the language control, the mimicry-memorization, the practice-theory, the cognate, the dual-language). It would be out of the scope of this thesis to examine each of them in any detail so as to verify which aspects could be useful to a LitAw programme.

Such a diversity of methods forced us back in time hoping that initial attempts at method development could contribute to our methodology. Howatt (1984) and Mackey (op.cit.) describe how until the end of the 18th century the usual practice in language teaching was to translate from the second language into the first. In the 19th century, a change took place. Howatt (op.cit.) attributes it to three factors. First, the concept that an educated "gentleman-like" person needed to speak languages fostered the gradual integration of foreign languages in secondary school curricula and eventually replaced the compulsory teaching of Greek and Latin. In addition, the commercialization and expansion of the market created a need for language learning. Large immigration moves were also responsible for this utilitarian language teaching beyond school limits. Thirdly, there was an early movement of reform in which individual thinkers proposed new and efficient methods (Jacotot, Marcel, Gouin in France; Prendergast in England).

It was the rational method proposed by Marcel (1793-1876), a French consul in Cork, that caught our attention. Here was a 19th century individualist thinker proposing a precedence of reading over speech. Marcel (1853) proposed that the double object of language was the **impression**, or reception, and the **expression**, or production.

Our course on LitAw could also find support in other ideas developed by Marcel. He argued for a cognitive reading of the text. He defined reading as "that operation of the mind by which ideas are attached to the written words as the eye glances over them" (1853, vol.1:337). Moreover, Marcel proposed that the receptive skill should take precedence over the productive. This statement presupposed the existence of both reception and production in a methodology for foreign language learning.

To Marcel reception implied the psychological **impression** caused by the text and the **expression** included an analysis of the activity itself. Marcel believed that once the linguistic elements and other devices used to communicate meanings were learnt, they could be used by the learner. Howatt (1984) explains how Marcel argued for an analytic method. This method started from example, led on to practice and experience, and then on to general truths by a process of induction. According to Marcel (1853, vol.1:209),

The analytical method brings the learner in immediate contact with the objects of study; it presents to him models for decomposition and imitation. The synthetical method disregards example and imitation; it turns the attention of the learner to principles and rules, in order to lead him, by an indirect course, to the objects of study.

This meant that we could consider a methodology which worked both synthetically and analytically. For instance, a typical handling of texts would include:

- overall comprehension
- a move towards a more detailed understanding
- spotting the pattern
- evaluating the function of the pattern.

We hypothesized that once the students found these patterns and noticed their effects, they would be able to apply their knowledge to unknown texts. Later, using the same devices, they would produce their own texts. Hence, based on Marcel's methodology of presentation, practice and production, we could move from objective to more abstract discussions in textual investigation. If proven correct, this hypothesis would support the move from impression to expression, or, from reception to production, where students would read and react to the whole text, find a pattern, describe it, evaluate it, interpret the text, and manipulate the pattern found for further effects.

Adopting some aspects of Marcel's description of language learning implied the following choices:

- performance rather than competence
- text-orientation rather than sentence formation
- reading (literacy) rather than speech (orality)
- situational approach rather than universal meaning
- production rather than absorption
- authentic texts rather than fabricated texts
- induction rather than deduction

Inspired by Marcel, we believed we could develop a text-oriented approach which would enable readers to produce an evaluative interpretation based on stylistic devices.

In the next subsection we bring into the discussion current developments in the teaching of EFLit and in reading research to justify further our methodology for a LitAw programme.

7.1.4. Pedagogic Orientation for LitAw

LitAw aims at sensitizing students to stylistic devices in a literary text so as to enable them to build justifiable and more objective textual interpretations. Chapters 1.2 and 7.1.1 challenged the old assumption prevalent in the teaching of literature that sensitivity to literary texts develops just by contact. Chapter 7.1.3 pointed out how a methodology for LitAw can find support in the history of language teaching.

In this section we suggest some similarities and differences between our orientation and current research into reading in a foreign language. We also comment on current structural and communicative approaches to language teaching, and indicate some identities between a course on LitAw and a description of the lexical syllabus.

7.1.4.1. The Teaching of Reading

The acts of reading and appreciating a text are closely related. Spiro (1991:37) points out the impossibility of separating "reading ability" from exclusively "literary ability". She argues that the one activates the other.

There is a vast body of research into how students read in a foreign language. Alderson & Urquhart (1984) propose an investigation into what happens as the reader interacts with the text. They offer a process-oriented approach to reading. In fact, most studies in the collection they edit argue against the trend to see reading as a set of hierarchically ordered skills. Alderson & Urquhart (idem:xvii) summarize:

Typically textbooks purporting to teach reading in a foreign language will consist of a variety of texts, with a set of questions (often in multiple choice format) which aim to test the learner's ability to understand the text at various levels, and the levels often relate to the sorts of taxonomies that research has established.

Alderson & Urquhart offer six reasons why these studies which regard reading as a set of ordered skills have not proved effective. They are:

- Levels of understanding cannot be isolated and worked on separately.
- Doing comprehension tests and reading are distinct activities.
- Testing is not teaching.
- The research has been oriented towards the product, that is, towards the interpretation rather than the process, or the act of reading.
- There is not one common result. Different readers produce different readings.
- Factors like motivation and purpose are not considered although they affect the reading.

Despite the fact that Alderson & Urquhart's position is not far removed from ours, they set out to emphasize understanding (as most articles in their collection do), that is, they look into the information the reader may derive from the text. It was not their intention to offer a methodology based on a stylistic investigation of how patterns provoke an effect on and a response from the reader.

Other studies suggest that the same method may be used for the reading of literary and non-literary texts (Meutsch & Schmidt, 1985; Vipond & Hunt, 1988). On the subject, Steen (1989: 63) writes that "In principle, there need be no reason whatsoever to think that literary reading requires different methods of investigation from non-literary reading".

However, research into reading should not be confused with research into response (see Jonas, 1990). The first analyses the reading processes, the strategies and their results; the latter investigates the aesthetic effects on the readers. Research into response to texts should investigate the linguistic elements which are responsible for that response. In a word, research into reading cannot satisfy the claim of stylistics, that is, of how students can be aware of and interpret formal linguistic patterns.

In this sense, Rosenblatt (1938, 1983; 1978) can be considered a pioneer²²⁵. She defines literature as a personal experience (see Chapter 2.4) and develops a distinction between two types of reading, which she calls the **effere**nt and the **aesthetic** readings.

Rosenblatt borrows the term **effere**nt from Latin, which means "to carry away". It is her argument that in a non-aesthetic reading, readers are concerned with what they can take from the act itself. It is a decision which happens **after** the act.

She illustrates her point dramatically with a mother whose child has swallowed poison and who is frantically reading the instructions to get the information she needs to save the child's life. This mode of reading is extended to newspaper articles, cooking recipes, or history books, where the reader's concern is to get the information wanted. The reader ingests the text.

Aesthetic reading, however, is concerned with what happens **during** the reading event. In this case, the reader focuses on the words themselves, on the structure. This means Rosenblatt considers the text as a linguistic artefact which is to be savoured. She explains (1978:27-28):

The distinction between aesthetic and nonaesthetic reading, then, derives ultimately from what the reader does, the stance that he adopts and the activities he carries out in relation to the text. At the extreme efferent end of the spectrum, the reader disengages his attention as much as possible from the personal and qualitative elements in his response to the verbal symbols; he concentrates on what the symbols designate, what they may be contributing to the end result that he seeks -- the information, the concepts, the guides to action, that will be left with him when the reading is over.

At the aesthetic end of the spectrum, in contrast, the reader's primary purpose is fulfilled *during* the reading event, as he fixes his attention on the actual experience he is living through. This permits the whole range of responses generated by the text to enter into the center of awareness, and out of these materials he selects and weaves what he sees as the literary work of art.

According to Rosenblatt (idem:26), to perform an aesthetic reading a reader must

pay attention to the broader gamut of what these particular words in this particular order were calling forth within him: attention to the sound and rhythm of the words in the inner ear, attention to the imprints of past encounters with these words and their referents in differing life and literary contexts, attention to the overtones of feelings, the chiming of sound, sense, idea, and association. Sensing, feeling, imagining, thinking under the stimulus of the words, the reader who adopts the aesthetic attitude feels no compulsion other than to apprehend what goes on during this process...

In other words, what distinguishes the aesthetic from other kinds of reading is the attitude the reader takes before a text.

Research into reading skills usually concentrates on efferent reading. This is clear in Grellet's statement (1981,1990:3) that "understanding a written text means extracting the required information from it as efficiently as possible". We are aware that people read for many different reasons. Grellet combines them into two: for pleasure or for information. We believe aesthetic reading adds a further dimension which can be superimposed on these two: that one may also read to investigate how meaning is created.

The course on LitAw needed a methodology which took advantage of the students' natural tendency to make sense and to learn for themselves. Before we list the hypotheses derived from the study of research into reading, we shall discuss some current methodological practices.

7.1.4.2. Structural, Communicative, and Lexical Approaches

In order to establish the case for a lexical syllabus, Willis (1990) presents a detailed comparison between structural and communicative approaches. He observes that in the structural approach, form is given prominence. That is, the focus is on the form of the language being produced. In addition, a structural approach does not take texts into consideration. It observes language at sentence level. As an example, he quotes a typical situation of a structurally-based methodology, where the objective is the correct production of target forms rather than the realization of communication (idem:2):

Teacher: *Where are you from?*

Students: *We're from Venezuela...*

Teacher: *No. Say the sentence "Where are you from"?*

Students: *Where are you from?*

In contrast with the structural approach, the communicative syllabus focuses on the exchange of meaning. In this case, the syllabus "consists of an inventory of units of communication rather than an inventory of sentence patterns" (idem:6).

The difference between both approaches can be explained in terms of **use** and **usage** (Widdowson, 1978). Collecting an inventory of forms, presenting, and practicing them belong to language **usage**, whereas **use** is language in a natural context. It guarantees the freedom to see the form working in different contexts. One internalizes the rituals of social relations, that is, language is here used as a framework for procedural activities, such as buying tickets, reserving hotel rooms, etc. In sum, **usage** refers to knowledge of grammatical rules and relates to linguistic correctness, whereas **use** refers to knowledge of social conventions and relates to social appropriateness.

Willis agrees with the presupposition underpinning the communicative syllabus that the best way to learn a language is to practice it. Mallett (1988:41) points out that

children do not learn language and then how to use it, but rather learn language as they learn of its *uses*, so they gain control over metalanguage as they see how it can help them achieve their purposes.

In this sense, language learning is a skill rather than the acquisition of a body of knowledge. However, in the communicative syllabus there is no guarantee that students will learn the grammar of a language. Knowledge of forms remains patchy and imprecise.

Willis (op.cit.:14) notes that skills operate on language and that language is structured. He writes:

the effectiveness of a skills-based approach to learning would be considerably enhanced if we would identify the linguistic knowledge on which particular skills operate.

This is not a return to a grammar-based syllabus but a search for balance, which holds that the syllabus of an effective course should include clear statements of language **usage**. The methodology, on the other hand, should allow for language **use**. Translating into terms of reading, the students should be exposed to the text first, experience it privately to see what can be done with it, locate the patterns, analyse them and then express their opinion in an informed way.

The LitAw course needed a task-based methodology firmly grounded in **use** and a partial inventory of stylistic patterns to explain **usage**. It was clear from its inception that a complete list of patterns would be impossible. There is much more to a literary text than a series of patterns that can be presented to students. We were caught between the Scylla of communicative *laissez-faire* and the Charybdis of formal presentation. The way out was to sensitize rather than cover ground, but be specific about what was being focused.

The class would then be structured on personal and private experience first, followed by personal and/or collective analysis, followed by production, here understood as output in terms of a critical account and/or creative writing.

What Willis (op.cit.:10) says about the control students acquire of the verb system is applicable to any methodology dealing with stylistic patterns:

It will be a long time before the learner has any control of this part of the verb system of English... All we can realistically do is attempt to make the learner aware that these concepts and these distinctions are part of the grammar of English. Whether and at what point the learner will be able to act on that information is beyond our control.

7.1.4.3. Hypotheses for a LitAw Methodology

Based on the discussions above on research into reading and current language teaching methodologies, we have derived the following hypotheses which have served as guidelines for our LitAw course:

- Stylistic patterns are part of the text.
- Stylistic patterns are meaningful linguistic patterns.
- Students must become aware that detecting stylistic patterns is part of their job as a critic. To have intuitions about the meaning or effect of a particular work is not sufficient for critical purposes.
- If a student is made aware of the pattern that is provoking a response, he or she will be able to appreciate it and produce an interpretation. In other words, students need a metalanguage in order to discuss language structure and language choices in some detail to support and inform their initial response. Their justification will come from a close examination of various levels of language.

- If students become aware that there is a range of different patterns that provoke response, they may develop an awareness of patterns which may not have been discussed before.
- Learning to manipulate patterns may enhance students' perception of patterns in other texts²²⁶.
- If students use a pattern to obtain a certain effect, they will be able to appreciate its meaning and thus build on it.
- An interpretation of a literary text is strongly shaped by the author's particular choices of language. Learning how to read literature involves a perception of these choices and may help develop an ability to produce them²²⁷.
- In a LitAw programme, students will move from the systematic to the subliminal. The more experienced the students become, the more automatic and sophisticated will their responses be.
- A detailed examination of the language of a literary text is only one contributory aspect of literary studies. It is not an alternative but it stands as an initiating event, that is, a way into the text.

7.2. The Pilot Project

Why do we study literature? This is a good question. When we start studying literature nobody explains to us why we do it; texts and books are "dumped" on us and perhaps this is why many people do not like to read and actually hate literature, because they did not get the adequate incentive.

A student in the Pilot Project (March 1992)

7.2.1. Description of the Course

This subsection is divided into two parts. The first describes the principles and aims of our LitAw course. The second part focuses on the syllabus, specifically on the criteria for text selection, on corpus building and on the organization of stylistic patterns into units. We have followed Willis's (1990) distinction between **syllabus** and **methodology** -- that is, we consider **syllabus** an inventory of forms which characterizes **usage** and **methodology** as language in action (see Chapter 7.1.4.2).

7.2.1.1. Aims and Objectives

The Pilot Project grew out of many years of experimentation. For over fifteen years we have been looking for an effective way of introducing Brazilian undergraduates to the study of literature in English (cf. Zyngier 1981; 1982; 1988). The seeds for a language-based approach were sown in 1981 and 1988 at the Lancaster and Strathclyde summer courses²²⁸ (Short & Candlin, 1988; Durant & Fabb, 1987) and began to develop at the Federal University of Rio de Janeiro in 1989 in elective and in regular courses of English Literature (for a political and constitutional perspective of these courses, see Zyngier, 1990b).

From March/June and September/December 1991, to March/June and August/December 1992 a total of four courses on LitAw were carried out. For the first course, fifteen sessions of ninety minutes each were planned but its main drawback was that the materials were being developed as the course progressed. In addition, it began as an elective course and only five students from different academic levels and with varying linguistic competence attended. In the second run, the students asked that the course should be made mandatory and offered very early in their four-year academic life (before they took up literature courses). The Department decided to absorb the LitAw programme into the English III course (see Chapter 7.2.2). Nineteen students attended the second course. However, due to a strike, this second semester course had to be reduced to ten sessions. In the first semester of 1992 the materials were better tested and the twelve units were covered. Hence, this course was considered the Pilot Project and the data for the thesis derive from this period.

This twenty-five hour course was distributed throughout fifteen weeks -- one meeting per week. Attendance was mandatory, the classes being planned as a workshop. So far, few courses have been planned on how to do things with stylistic patterns. The Pilot Project attempted to fill this gap. Each class concentrated on one major stylistic pattern which was worked on at different levels (see Chapter 7.2.4).

The course assumed that literary experience could be taught and that students' sensitivity could be sharpened²²⁹. Most of the other principles have been inspired by the

National Council for Language in Education (NCLE) Report (in Donmall, 1985; cf. also DES, 1990) on a programme for Language Awareness²³⁰. From their cognitive, affective, and social parameters, we derived the following principles:

Cognitive aspect:

- To develop, with regard to specific texts, awareness of pattern, contrast, units, categories, and rules of language in use.
- To develop the ability to reflect upon them, to make pertinent interpretive judgements and to express analysis and opinion appropriately and effectively. In other words, by turning implicit knowledge into explicit knowledge, the student learns how to render private reactions into public discourse (Hasan, 1985).²³¹

Affective aspect:

- To form receptive attitudes towards the written text.
- To awaken and develop attention, sensitivity, curiosity, interest and aesthetic response²³².

Creative aspect:

- To guide students towards confidence in personal expression.
- To promote creativity and innovation by valuing individual choices.
- To stimulate students to play with language.

The course was not a literary workshop aiming at the aesthetic quality of the works created. The assumption was that if the students enjoyed producing literary pieces, they would enjoy observing how other texts were produced.

The course pursued three main aims and objectives. Firstly, it attempted to stimulate and educate students' sensitivity to literary (both past and contemporary) texts. In this process, the course connected theory to practice by means of experimentation.

Secondly, the course aimed to help students evaluate the artistry of a literary text by means of linguistic criteria. In having students observe and report on how language worked in a text, the course also stimulated a process of constant awareness.

Thirdly, it offered students a range of skills which would enable them to analyse the linguistic constructions of a literary text. In this way, the course also provided students with elements with which to support their interpretations of texts.

To set these objectives into action, a students' workbook was designed (see Appendix I) containing a small corpus of both literary and non-literary texts. We shall now explain the criteria for text selection out of which some patterns were perceived and discriminated.

7.2.1.2. The Syllabus

a. Criteria for Text Selection

It must be stressed that we do not underestimate the relevance of genre or of literary tradition for the study of literature. However, our concern in a course on LitAw is basically with the act of reading and developing aesthetic response, and this applies to any literary work.

Graff (1990:822-23) points out that the question of which text to use is ultimately irrelevant. He explains that traditionalists and revisionalists have been debating over the use of canonical or non-canonical texts when the issue is that students will always tend to see any text offered in a course as "academic discourse". In other words, the institutional setting will always affect the way literature is experienced.

For the LitAw course, texts were taken from both acknowledged and non-acknowledged literary sources (see Bex, 1988:127; Duff & Maley, 1990, 1992:5-10). They ranged from the most simple in terms of vocabulary and clarity of effect to the most complex in terms of structure. They also varied widely in language forms, from contemporary to sixteenth century English.²³³

The criteria for selection were based on textual function. Although language and meaning cannot be dissociated, our focus of attention was on the linguistic realization of the text. In other words, our objective was to show how linguistic mediation determined meaning.²³⁴

The course was organized from a wide range of texts and from a decision on which ones would be more adequate for the students in question. The selection of texts was based on the following considerations:

- **Length of text.** Most texts were read in class. Therefore, reading could not exceed thirty minutes. For this reason, only short texts were worked on. In the case of novels, extracts were provided.
- **Variety of text types.** The texts involved selections both from prose and from poetry, canonical or non-canonical works²³⁵, and presented different varieties of English. They also contained the stylistic element we wished to highlight. All texts were studied in the class for literary purposes.
- **Levels of language complexity.** In each class, texts of varying levels of language complexity were presented, the first one being generally a light and funny piece which we assumed students would enjoy working with. Pleasure was a concrete goal here.
- **Rejection of simplified version.** This thesis postulates that any change in form results in a change in meaning. Hence, only originals and authentic texts were considered²³⁶. It is out of the scope of this thesis to enter the debate on the validity of simplified or adapted texts (see Muyskens, 1983:414). We would only like to point out that the claim that adaptations provide a more simple language is a fallacy. Although Campbell (1987) advocates the use of "easier" texts, she shows, among other examples, how Hall's adaptation of Thomas Hardy's *Tess of the D'Urbervilles*²³⁷ leaves out the tension in the dialectal differences which is an important element for the understanding of the story. In her words (idem:134), "the results of losing the dialect in the adaptation is that the impression of Tess's linguistic and social isolation from her own class is weakened".
- **Exophoric references.** This thesis follows the notion that most references are text-deductible. Students should trust the text (Sinclair, 1991b). Having said that, we also believe that different repertoires will yield different levels of interpretation. What is relevant is that interpretations can always be carried out on a certain level. One example is the word *Mancunians* in "All our Yesterdays" (Unit 8 in Appendix I). Despite the fact that the students in the Pilot Project did not know who Mancunians were and what was meant, they were still able to understand the poem and perceive the poet's point of view by following the syntax. The same applies to intertextual references.

b. Spotting patterns

After the selection of a small corpus of literary texts, patterns were discriminated. These patterns were always considered in relation to textual environment. We agree with Hasan (1985:19) that, "Individual linguistic patterns, once isolated, are not themselves responsible for the impression created by a text".

In other words, each text suggested the pattern to be discriminated which was, in turn, seen in relation to the text as a whole.

c. Handling texts

Each text also suggested the type of exercise to be devised. The text was the starting point for determining what patterns were to be considered and how they were to be dealt with. A typical handling of text would follow this sequence:

1. reading for overall comprehension.
2. moving towards a more detailed reading.
3. spotting pattern(s)
4. evaluating stylistic function of pattern.

In dealing with texts, the course undercut the traditional classroom role of the teacher. Durant & Fabb (1987:232) define this traditional classroom contact as

lectures (conforming to the idea of imparting knowledge and opinion), and seminars (involving more learner-centred, "experiential" learning, through relatively unstructured discussion) .

In other words, imparting information on authors, literary schools, text types, etc. did not form part of the course. The contemplative, non-specific or evaluative discussions (as exemplified in Carter & Long, 1991:26) were also avoided. Instead, the course explored students' own responses to literature by means of a wide range of classroom activities. These involved creative writing, problem-solving, completion of worksheets, pair work, silent reading, group discussions -- in a word, activities largely employed in language classes (see Appendix II). The guiding principle here was to start from what the students knew and to focus on the process of interpretation rather than on the final product.

Having established the aim of the course, the criteria for text selection, the spotting of patterns, and how texts were handled, we shall now explain how the patterns described in Chapter 6.2 were organized in the course.

d. Stylistic Patterns

The course on LitAw was based on the correspondences between linguistic patterns and stylistic functions. That is, each class was built around a major stylistic function as expressed by a particular linguistic structure. For example, the effect of vagueness as produced by the use of modals; personification, by transitivity relations, etc. Hence, the approach was strongly corpus-based, with data consisting of observed linguistic events. The following list relates the ten patterns found in the corpus to the units in the course (see Table 6.1) ²³⁸.

Stylistic patterns	Units in the course
1. Transitivity/personification	2
2. Suspension by subordination	3
3. Vagueness by modality	4

4. Lexical cohesion and repetition	5
5. Pictorialisation by verbal and typographic identity	6
6. Stretching limits/neologism	7
7. Time and tense	8
8. Perspective/ free indirect discourse	9
9. Comparisons and matching relations	10
10. Register mismatch	11

7.1. Summary of stylistic patterns per unit

3

It must be stressed that there is much more to a literary text than a series of patterns that can be presented to the student. Perceiving patterns is but a way into the text. In addition, there was no intention to perform a total inventory of linguistic and textual occurrences for each text (as in Jakobson & Jones, 1970; or in Sinclair, 1988a). Each class marked out one point of interest. As the final examination confirmed (see Chapter 7.2.4.2) readers were free to find out and privilege certain patterns to support their interpretations.

Moreover, the course in LitAw was in no way intended to define permanent categories for stylistic analysis. It aimed at initiating a process whereby EFLit students became sensitized to the fact that linguistic patterns and stylistic functions corresponded and could be used to create a certain effect.

In this sense, the purpose of this course was twofold. In the act of **reading**, it trained students to recognize patterns in a variety of literary texts and to be explicit about them. In the act of **writing**, it helped students create a context where certain structures produced the effect they intended to trigger in their reader.

To stimulate students' participation, the course itself became a process of creation, where both instructor and students worked in groups and where new forms of communication were articulated. Suggestions for change were made, negotiated, and incorporated when pertinent. Classwork had to be understood as real action and not as simulation. The course developed an activity-based, student-centred, process-oriented approach in which reading literature in a non-native language for academic purposes did not exclude reading for personal enrichment and enjoyment.

7.2.2. Profile of Students

Having described the course, we now arrive at the question of who the students were. Thirty-nine students enrolled for the Pilot Project. Three students dropped out after the first class. The thirty-six (two male and thirty-four female) remaining students were Brazilian undergraduates in their third semester of study at the School of Letters of the Federal University of Rio de Janeiro (FL/UFRJ) -- a federally-funded Institution where instruction is free. As the entrance examination is rather difficult, only the more qualified students manage to pass (for a historical account of the Institution, see Zyngier, 1990b).

The Bachelor of Arts Degree at the FL/UFRJ requires eight semesters of study and demands proficiency in written and spoken English at graduation. Literature cannot claim parity with language but is a strong presence in the syllabus. Portuguese-English students take courses in Portuguese language, Brazilian, Portuguese, American and English literatures, Linguistics, Theory of Literature, Latin and Greek, among other credits.

All students in the Pilot Project were English majors (B.A. in Portuguese and English). Mostly from middle or low middle sectors of the society, some students had attended private English language centres which proliferate in Rio de Janeiro. As not all such language centres offer good quality instruction, many of these students had not mastered English any better than the ones who had only had foreign language instruction in secondary schools, where English is mandatory. Most students presented a low-intermediate level of English (pre-Cambridge First Certificate requirements).

These students could not handle many exophoric or intertextual references but their awareness of language structuring was quite solid. As EFL students, they tended to be very aware of aspects of English. Besides, they had had reasonable training in Portuguese grammar and syntax.

Post-course feedback showed that their language competence improved after the Pilot Project although it would be difficult to attribute it only to the LitAw course. The course was offered as part of a language credit. English III involved 6-hour/week (two for Grammar, two for Composition, and two for LitAw, each of these courses being led by a different teacher). Concomitant to English III, students were taking their first English Literature course (**Foundations of English Literature - from *Beowulf* to Chaucer**).

7.2.3. System of Assessment

Despite the increasing number of publications on stylistics and the teaching of literature (Widdowson, 1975; Brumfit & Carter, 1986; Fabb & Durant, 1987; Short, 1988; Carter & Long, 1991, among others), assessment in EFLit has not been an area of detailed study. Brumfit (1991:iv) remarks that "on the testing of literature there is far more practice than principle, and a consensus would be difficult to obtain". Here we decided to follow Bruner's advice that "leaving evaluation to the end is like doing military intelligence when the war is over"²³⁹.

How can creativity, or "the human capacity for making sense, for negotiating meaning, for finding expression for the new experience in metaphor, for refashioning reality in the image of new ideas and new ideals" (Widdowson, 1984:170) be graded? A wide range of activities have been proposed, worksheets prepared, experimental work emphasized. Grading, however, is still carried out in a traditional way. The mainstream of publications agree with Donmall (1992:121) that "'awareness' and 'sensitivity' are hardly susceptible to assessment".

This section will argue against this postulation and describe the system of evaluation devised for the course on LitAw. Its relevance is defined in terms of the course objectives. Therefore, before detailing the system, these objectives must be made clear.

LitAw is a preliminary work of textual interpretation (Carter & Long, 1987) based on the notion that verbal art is a patterned activity (Hasan, 1985). The course on LitAw pursues four main aims, which are determined by four functions:

- **methodological function:** to show students that the way into a text is a linguistic route.
- **course-content function:** to present students with a range of linguistic patterns which will enable them to initiate their analysis of the language of literature.
- **affective function:** to sensitize students to the fact that language patterns can be used to produce effects on the reader.
- **metalinguistic function:** to enable students to acquire a terminology with which to discuss the meaning and the making of a text.

The system of assessment for LitAw is basically achievement-oriented. It evaluates content, process, and students' progress. Each unit focuses on a specific language pattern and it is this pattern that is expected to be recognized by students. In other words, students are expected to respond to literary texts in a way that acknowledges the language patterns in their contribution to the meaning and effect. This acknowledgement includes an awareness of the particular patterns each unit introduces and the interpretation of their contribution to meaning. Thus, the content component expects students to be specially responsive to the patterns used as exemplars in each unit.

We believe the process of becoming sensitized to the literary phenomenon depends on continuous practice and exposure to literary texts. Traditional formal written examinations may be effective for some levels of evaluation but they cannot be considered as the only means for assessing literary sensitivity. They are generally carried out under time and emotional pressures and do not take into account the record of achievements over a variety of activities.

Therefore, a comprehensive system of assessment should aim at more than one level of performance. To cope with the specific demands of the course on LitAw, four types of evaluation have been designed. They complement each other. We shall now describe each of these types although the course only used the two first for grading purposes.

The first type is a **product evaluation** which focuses on achievement, that is, on how much and how well the students learned the content. It is obtained by means of a

final written examination. This written examination should test basically skill, textual organization, and content (see Chapter 7.2.5.2).

The second type, or **process evaluation**, is concerned with what students do throughout the course rather with what they know at a specific moment. It assesses the intermediate stages and keeps track of students' progress. The need for ongoing evaluation is relevant in order to obviate the ever present danger of a momentary or idiosyncratic incompatibility of the student with the text presented at the final written examination, or for some other external reasons. In our experience, the evaluation of the process has proved to be compatible with the results obtained at the final test and has served to corroborate it. In other words, the results of process assessment reflect in the final performance.

Moreover, this kind of evaluation can also represent a rescue raft for the serious student who worked well during the course but blanked out during the final test. It must be pointed out that the opposite situation -- that of a student who did not thrive during the course but who performed well in the final test -- never happened during the years the course was being experimented.

The third type of assessment which may be carried out in a course on Literary Awareness is the **diagnostic test** (see Appendix VIII; also, Chapter 7.2.4.3). It compares students' skills before and after the course. In this sense, the student is his or her own control subject. The diagnostic test, consisting of a poem (Blake's "The Lamb") presented for analysis on the first class and submitted for re-analysis in the last class, was not used for grading purposes.

The fourth type of assessment which may function in a course on awareness is the **individual interview** (see Appendix VIII). It consists of a final oral test in which students are asked to read a poem silently, make decisions about stress and intonation, read the poem out loud and then justify their reading by focusing on patterns they have perceived in the text. The interview should be recorded. It may operate well in classes with a small number of students. Like the diagnostic test, the interviews were not meant for grading purposes lest we ran the risk of overassessing. Both the diagnostic test and the interviews were only used to confirm the validity of the course. However, they stand as two further options of assessing awareness.

In sum, four types of assessing have been presented as a counterargument to the idea that awareness cannot be graded (also see Spiro, 1991). This section shall now concentrate only on the two systems used in the Pilot Project for grading.

In order to assess both achievement, or the **product**, and individual performance, or the **process**, a progress report was needed. Garforth & MacIntosh's **system of profiling** proved to be helpful. They define **profiling** as "the process by which a profile or record of achievement is produced" (1986:1) and suggest the following elements:

- a list of criteria.
- a means of indicating the level of performance reached for each of the criteria.
- an indication of the evidence used to arrive at the description provided.

In order to establish these three basic elements for a progress report, the authors propose that answers be provided to some questions. We shall present some of the questions followed by the answers pertinent to the course on LitAw:

Q. What are the main purposes of the profile?

A. To evaluate and guide the student's progress throughout the course. To make assessment more manageable and objective. To serve as a document of record, which the student will have access to by the end of the course.

Q. Who is to be profiled?

A. Every student who takes the course.

Q. What is to be assessed and how is assessment to be undertaken?

A. We assume students arrive at the course with different levels of proficiency, not only in terms of linguistic knowledge but also in relation to previous exposure to literature. Hence, the progress report should take into consideration contents (knowledge of subject-matter of each unit), achievements and experiences (how students transfer the knowledge acquired in class to other texts outside the classroom situation), and skills (ability to write organized essays, capacity to create and to analyse).

An essential part of the course, participation is verified by means of attendance, by the keeping of a folder (which contains a logbook) updated, by the contribution of relevant essays, and by the re-writing exercises whenever required. The teacher completes the following grid:

COURSE PARTICIPATION GRID

Student's Name:.....

Period:

Final Average:

Units	Attendance & punctuality	Folder	Writing Essays
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Results			

Levels Defined	
Attendance:	A - 90 minutes B - 10 minutes late C - 20 minutes late D - 30 or more minutes late or no attendance.
Folder:	A - always kept updated B - at least two exercises behind C - more than two exercises behind D - incomplete

Essays: **A** - at least 250 words covering the 4 stages
B - at least 250 words covering at least 3 stages
C - fewer than 250 words covering at least 3 stages
D - fewer than 250 words covering 1 or 2 stages only

Table 7.2. Course participation grid

Students only have access to this grid at the end of the course. It is held back for two reasons. Firstly, if they have access to the grid in the beginning of the course, they may work just enough to fulfill specific requirements. We suggest that students' growth should not be limited to specific items. Other types of knowledge may be learned from the course (e.g. notions of metre, genre, literary tradition, etc.). If students know beforehand these items will not be used for assessment, their relevance may be reduced.

Secondly, we believe that once sensitized to the fact that linguistic patterns contribute to the effect of a literary text, the students will continue their investigation into further possible patterns. Students are reminded that patterns are functionally complex. One pattern may be used to create different effects and meanings in other texts. Thus future application will frequently reveal unexpected meanings. Students should have developed a flexible outlook by the end of the course so that they can account for unpredictable realizations. They will be aware of different form-effect meanings as they will have used the same form to express different meanings. Self-assessment, or the ability to evaluate and criticize one's own postulations, should help students in their future responses and justifications.

We shall now examine each of the components of the **Course Participation Grid**. Although significant, attendance and punctuality belong to the area of classroom management and will not be considered here. The folder, however, is a means of partial assessment. It contains the application exercises done in class, the texts created by the students, and the evaluation essays written after each class. In order to evaluate the work done, the teacher considers **highly successful** the work in which the student has:

1. Perceived the pattern under focus.
2. Described the effect created by this pattern.
3. Created an effect using that pattern.
4. Reported on the decisions.

A **successful** work is expected to cover items 1 and 2. An **unsuccessful** work accomplishes only one or none of the above.

The teacher then adds comments to the folder. For instance, if a student is behind in handing in the work, the teacher may let him or her know. Likewise, if an exercise has not been successfully completed, the teacher may ask the student to finish or to repeat it. Work is thus considered on a progressive and individual basis.

The folder is an effective channel of communication between teacher and student. As schedules may not coincide, the student may use the folder to send notes to the teacher.

The folder also contains a log book, "a kind of diary in which the student regularly notes what has been experienced and learned in relation to specific elements of a course" (Garforth & MacIntosh, 1986:93) and can thus be used as a basis for reviews of progress. The logbook is thus a kind of documented tutoring, a formative process of recording information.

The essays are evaluated according to length requirement and to how fully they have covered the four stages in the guideline presented to students in the beginning of the course. These are the stages:

- a report on what the class was about.
- an analysis of the work done in class, including the description of the pattern under focus.
- student's reaction to the material presented.
- relevance of the class to the student.

These essays are relevant for the purposes of self-assessment as well. By considering the class and their participation in it, students are able to reflect on their achievements.

Achievement is also assessed by means of the final written examination. It consists of an unseen literary text for analysis presented to students at the end of the course. In 90 minutes they are expected to find significant patterns in this text and justify in writing how they arrived linguistically at the impressions and responses they had of this text. The written examination is graded according to the following table:

Grade	Handling of Patterns
A	Most significant pattern(s) are perceived, described, exemplified, and justified in relation to meaning. Patterns are presented hierarchically from the most to the least significant.
B	Some but not the major pattern(s) are perceived, described, and justified in relation to meaning. No examples or hierarchy are presented.
C	Only minor pattern(s) are perceived and described. No justification, examples, or hierarchy are presented.
D	No patterns perceived or described.

Table 7.3. Guide to grading the final essay

An average is obtained from the results of the **Course Participation Grid** and the final examination. The passing grade is **C**. Any students who performs each of the tasks seriously and competently is likely to get a passing grade.

Concluding, the reason why a different method of assessment had to be devised was that current practices in literature courses were not appropriate to the kind of evaluation needed in LitAw. Most literature courses in UFRJ and elsewhere grade students based on mid-term and final written examinations carried out in the classroom and/or on a final take-away paper. Performance throughout the course is taken for granted.

The system devised for the course on LitAw considers degrees of sophistication in pattern recognition and textual justification. The following changes from current practices have been suggested:

- a complementing of grading with diagnosis and step-by-step evaluation.
- reduction of relevance of formal assessment carried out at one particular moment and emphasis on informal assessment over a period of time.
- a shift from negative comparisons or comparison with a "correct" norm established by teacher or critics towards stressing positive performance.
- criterion rather than norm referencing.

- a change in teacher/student relationship. From dispenser of knowledge, the teacher becomes a guide, a coordinator, and an organizer, whereas the student becomes an active agent.

According to this system, imprecise and subjective grading in awareness can be avoided. Assessment becomes both objective and dependable on individual performance. This means criteria have been drawn on what students do rather than on what they do not achieve. In this course, students are basically assessed on how close they meet the objectives of each unit and on how well they perform throughout the course.

7.2.4. Materials and Method

The materials utilized in class consisted of individual folders where students' daily production was collected (see Chapter 7.2.3) and of the students' workbook, organized by the teacher and photocopied by the students (see Appendix I). The methodology has been discussed in Chapter 7.1.4.

7.2.4.1. A Typical Class

A typical class of ninety minutes was divided into five parts. The class began with the distribution of the folders and the students' reading of the comments on their work done in the previous class while the teacher checked attendance. Then students would clarify any doubts left from the previous class. In about ten minutes some of the students' production would be presented and discussed. Thus a link was always established with the former unit.

In the second part, a generally light and funny piece of work was read silently. Students made a note of their reaction to this text. Pair work followed in which students tried to find out what elements in this text triggered their initial response. Plenary discussion followed. About twenty minutes were dedicated to this part of the class, or "presentation through practice" (see "reception" in Chapter 7.1.3).

The third part consisted of a brief theoretical account of the pattern ("formal presentation") which was either written in the students' workbook (in the **Food for Thought** section) or expounded by the teacher. This lecturing part would not take more than ten minutes.

The fourth part of the class was dedicated to **Time to Create** (see "expression" or free production, in Chapter 7.1.3). Here students were expected to write their own poems or prose paragraphs utilizing the pattern under focus. It was up to the student to decide whether this activity was to be carried out in pairs or individually. In most cases, although this section was the longest in the class (about thirty minutes), students preferred to finish the work at home and only hand it in the following class. The results demonstrate that the trust deposited on the students was worthwhile. The pieces were original and truly the outcome of (pre)-intermediate language learners. The sheets they handed in contained their original piece and an analysis of the pattern involved in the process.

In the fifth part of the class (**application**) a more difficult literary piece was introduced. The workbook contained texts selected from D.H. Lawrence, e. e.cummings, G. Herbert, D. Thomas, E. Dickinson, S. Plath, A. Gray, C. Dickens, W. Golding, and J. Donne). Instead of claiming the work was too difficult, the students would try to find out the pattern and its effect on them in about twenty minutes.

Homework involved finishing off whatever was not possibly performed in class, and writing an evaluation essay. All students' work would be inserted in the folder the following class (see Appendices III and IV).

7.2.4.2. The Final Written Test

By the end of the course a written examination was carried out. Two texts were selected for the final examination (see Appendix VIII): extracts from J. Joyce's "Eveline" (**Text 1**) and from D.H. Lawrence "Tickets, please" (**Text 2**). The titles or names of author were not presented so as not to promote pre-judgements. The class was divided into two groups. Eighteen students were given **Text 1** whereas seventeen students had access to **Text 2**. The following questions were asked:

1. What is this text about?
2. What pattern(s) stand(s) out?

3. Describe the pattern(s).
4. Explain how the pattern(s) contribute(s) to the general meaning.

Both the texts selected presented more than one pattern and students were expected to display in their essay some sort of hierarchical organization in their descriptions. The patterns to be identified were the following (for pattern description, see Chapter 6.2)²⁴⁰:

Text 1: "Eveline"

Pattern 1: Time/tense contrast (Unit 8)
Pattern 2: Perspective and Free Indirect Discourse (Unit 9)
Pattern 3: Lexical cohesion and repetition (Unit 5)

Text 2: "Tickets, please"

Pattern 1: Suspension by subordination and accumulation of adverbials (Unit 3).
Pattern 2: Personification/transitivity (Unit 2)
Pattern 3: Lexical cohesion (creating contrast and /or defining semantic areas)(Unit 5).

Students were allowed to use a dictionary to find out unknown words. In about ninety minutes they were expected to answer the questions above in an essay form of about 250 words.

7.2.4.3. The Diagnostic Test

The diagnostic test differed from the written exam for the fact that the same text was presented twice: once as the very first contact with the course and the second time as the last piece worked on, that is, a re-analysis of the same text. The text in case was W. Blake's "The Lamb".

Of the thirty-five students who finished the course, three did not hand in the second test, and four missed the first class. Therefore, a total number of twenty-eight tests could be investigated.

7.2.5. Presentation and Discussion of Results

We decided to adapt the usual presentation, practice, production of language classes to a response, formal presentation, production, and application methodology (see Chapter 7.1.4). This modification helped students' involvement. The patterns were felt to be the students' own discovery. The lecture then became a kind of reinforcement and adjustment rather than a piece of new information. In addition, it was anticipated that after this experience students would not offer resistance to literary pieces. They learned that interpretation would possibly derive from their identification of a specific pattern.

7.2.5.1. Classroom Production

In terms of their production, most students were able to create texts in which the pattern under focus was present. They were also able to describe this pattern and analyse its effect, regardless of how badly or well-written their production was. In most cases, students would be willing to discuss their poems and try to improve them. They were proud of their production, which was sizeable (see samples in Appendix III). One student mentioned that she had never thought she could manipulate a foreign language for aesthetic purposes. Although they were never asked to rhyme, students began to play with words and sounds besides utilizing the pattern. We shall now look at some examples (transcribed *verbatim*).

In the first one, for Unit 10 (see Chapter 6.2.9) the student played with the ambiguity of the word **bloody**:

Brothers in Arm

**A gun is made of metal
A knife is too
They are both dangerous
And seem to relate closely.
However they differ somehow.**

**The first needs a bullet
And kills at any distance.
The second needs a blade
And approaches its victim to kill.**

**Like brother to brother
They have their idiosyncrasies
But come from the same bloody mother.**

Analysis: First, I thought of two elements which had something in common. As I wanted to create an effect of horror on the reader, I concentrated my thoughts in two weapons that sometimes are used for the same purpose: killing or slaying someone.

The poem is composed of three parts. The claim comes in the four first verses of the poem which represent the similarities between the elements quoted above. To make the comparison I used "both" and "too". The fourth verse is the most important of this part as the comparison between the gun and the knife is associated to the title (relate/brothers).

The second part of the poem consists of four verses that represent the counterclaim of the poem. Although these two objects can be used for the same aim, they have their own characteristics that differ one from the other.

The third part is the shortest. It is composed of three verses which are (illegible) for the whole poem as here the ambiguity of brothers is retained and the poet's opinion is expressed in the adjective bloody that can either mean its referential meaning (blood) or a curse. It keeps the ambiguity of the poem.

In the second example, prepared for Unit 11 (see Chapter 6.2.10) the student played with sounds:

***O my old blue jeans
You follow me every day
But now you are torn
And what can I say?***

***O my old blue jeans
You represent my "way of life"
But now you are torn
And it "cuts like a knife".***

***O my old blue jeans
Some day you had been really blue
But now you are torn
And faded, too.***

***O my old blue jeans
Dress you up made me high
But now you are torn
And I must say, goodbye.***

Analysis: This poem talks about the relation of a young and her blue jeans. She feels so sad when her faded blue jeans had torn.

A blue jeans is a common object but the words used to talk about it were different.

There is an incompatibility between language and the object. Normally an ode is a kind of text to be done to a noble subject but in this text was done an ode to a faded blue jeans and it created a contrast (in the meaning of the text) between the language and the object.

A third student tried to mix knowledge of different languages and created forceful rhyming. An evidence of the level of her English is to be found in the title. She had meant "Ode to my forgotten umbrella". Instead she wrote:

***Ode to my unforgiven umbrella
Oh, my pink umbrella
When the rain came
There you were: "tres belle"
To protect me was your aim
You were so important
How could I forget you with my tante
Now I have to run for protection
Not to wet my new French collection***

Analysis: An ode is an exaltation of a thing, an important thing. When you read an ode you expect that the object you chose has something different from the others. I chose an umbrella to be exalted. I put the verses rhyming with a space: the first one rhyme with the third, the second with the fourth and so on. I tried to

*ironize the umbrella because it is something very boring most of the times and it seems that everyone wants to forget it anywhere. I chose the words "tres belle" to rhyme with the umbrella: My pink umbrella is tres **belle**.*

The units in which students played with language more intensely were the ones dealing with pictorialisation (Unit 6) and neologism (Unit 7) (see Chapters 6.2.5 and 6.2.5; see also Appendix III) . Here are two examples from Unit 7:

**I anxiously waited to talk with Daddy
Daddy was nervous
Would he allow me to say everything
in only one word?
Frightened I said:
Irunyourbrandnewcarintothelightpost**

Analysis: Reading the poem, the reader could think that it is a common poem but when he/she read the neologism, that I created, become surprise. I wrote this neologism at the end of the poem to not disturb the reader's attention with another words. As the father wanted only one word, I gathered a phrase to corresponde a only one word.

**Mr. Miller is leaving.
He will breakfast his coffee.
He starts drinking
Strangy something
in his betteethween
No need to worry,
It is just a cockroach!**

Analysis: In order to create a certain impact on the reader, neologisms were used in the poem above. The usage of the word "breakfast" followed by a direct object reveals a syntactic neologism which indicates haste. There was also another syntactic neologism "strangy" but it is at the same time lexical (the result of the addition of the suffix -y to the word strange). The words "betteethween" turns into a noun by the introduction of the word "teeth" in the middle of the preposition "between". This was done just to show that there was really something strange between his teeth. So here, we have another example of lexical neologism.

After producing pieces like these, the students would approach a poem like e.e.cummings' "Pity this busy monster manunkind" (see Appendix I) in a playful mood, trying to identify and understand the neologisms instead of being put off by this poem's "difficult" and unusual language.

In terms of output, it could always be argued that students' production and the evaluation essays they wrote after each class were a mere repetition of a recently learned linguistic device. For this reason, the final test was devised, presenting them with an unseen text where patterns would have to be searched, identified, and discussed.

7.2.5.2. The Final Written Test

In the written examination, the reason for providing two different texts was to check whether there would be any difference in terms of an easier or a more difficult text.

There was not. Both texts were answered equally. In addition, for the purposes of this thesis, prose was selected for the written exam whereas poetry was presented in the diagnostic test.

The criteria for grading the written exams followed the **Guide to Grading Final Essays** (see Chapter 7.2.3).

Still, grading was complex. Students were sometimes unable to articulate their opinions, or wrote too many unsubstantiated assumptions. Patterns would be perceived but there were many irrelevant comments in between. In the time shift pattern (Chapter 6.2.7), for instance, one student noticed the pattern but made a mistake in referring to the tense. Instead of simple past/future in the past for the expression *was going to go*, she wrote past/future continuous. Besides time shift, this same student perceived free indirect discourse. She drew attention to the punctuation in *That was a long time ago; ...* where, she claimed, "we can hear the character's voice with the presence of semi-colons. This represents the pauses that people make when are thinking or talking". According to her, this is how the author "insinuated the character's opinions (voices)". But in the beginning of her essay, the student mistakenly fused author, narrator and character into one person ("The author talks about her childhood with her family...").

In addition, it was hard to decide on the grading of a test where the student would find just one pattern, but would describe it and carry out a coherent and lucid interpretation.

Another problem was created by those tests where the students who noticed personification in **Text 2** did not describe it as deriving from transitivity relations. Some even referred to movement and feeling ("satisfaction") in relation to the train but did not describe the subject *train* as an **actor** performing a material process. This incomplete response may perhaps derive from the fact that the pattern was presented very early in the course (Unit 2) when students were still concentrating on course organization.

The final written exam revealed that students had been sensitized and that the course had reached its objectives. Only two out of thirty-five students were not able to recognize a pattern. The results of the final test were as follows:

No. patterns perceived	Text 1	Text 2	Total no. students
0	1	1	2
1	10	6	16
2	7	8	15
3	0	2	2
Total no. students	18	17	35

Table 7.4. Number of patterns perceived per text

Text 1 - "Eveline"	
Type of pattern	No. of students that perceived each pattern
1. Time/Tense contrast	13
2. Perspective/FID	10
3. Lexical cohesion	2
Total no. patterns/maximum possible no.	25/54
Total no. students that took this test:	18

Table 7.5. Types of patterns perceived in Text 1²⁴¹

Text 2 - "Tickets, please"	
Type of pattern	No. of students that perceived each pattern
1. Suspension by subordination	8
2. Personification/Transitivity	6
3. Lexical cohesion	13
Total no. patterns/maximum possible no.	27/51
Total no. students that took this test:	17

Table 7.6. Types of patterns perceived in Text 2

The grades obtained in the final written tests were as follows (cf. Table 7.3):

Grades	No. of students
A	3
B	9
C	21
D	2
Total:	35

Table 7.7. Final test grades

The final grade obtained in the course, that is, the average between the written examination added to the work performed throughout the course (cf. Table 7.2 . **Course Participation Grid**) was as follows:

Number of students enrolled: 39	
Dropouts: 4	
Final Average	No. of students
A	4
B	20
C	10
D	1
Total:	35

Table 7.8. Final results

This result illustrates how a student who failed in the written examination still succeeded in passing the course once the coursework was included in the evaluation. As a whole, most students benefitted from the inclusion of the coursework.

7.2.5.3. Discussion of the diagnostic test

A series of problems became evident after the application of the diagnostic test:

- The students knew it would only serve the purposes of research. No grades would be attributed. This affected students' performance, which tended to be sloppier than in the written examination. Because they knew the written examination would be graded, students tended to write longer, tighter, and more coherent essays.
- The re-analysis, that is, the second part of the test, had to be performed outside the classroom due to schedule restrictions²⁴². As a result, the answers varied in length and depth. Fifteen of the students were happy with merely pointing out what patterns they now perceived without any description or further analysis. The other thirteen offered more complete analyses. At the end of the semester, the students commented they had never written so much in any course before. Hence, we must regard the thirteen fuller accounts as an extra effort and a thermometer of students' interest in the course.

Most students preferred to write their first analysis in Portuguese. They had never analysed a text in English before and lacked confidence. In the second test they were all writing more comfortably (although their English was still faulty). The following table shows their language preference:

First test	Language used in diagnostic tests		No. Tests
	No. Tests	Second test	
Portuguese	16		
English	11	English	28
Engl/Port.	1		

Table 7.9. Language preference

The first test demonstrated that students would only try to find out what the text was about and did not justify their opinions. Most of them were very short (about one to three sentences long). The fourteen who did not write essays in their second test tended to write longer or more coherent answers in their "re-analysis". Here are three examples of the shortest and least successful tests²⁴³:

Example 1:

First test: *The poet is trying to say that God is present in all the things, in all the human beings.*

Second test: *I would do an analyses more intense using the linguistics elements, analysing each stanza, to discover what the author tried to say through each elements in the text, and I would use the strategy of the pattern of repetition and lexical choice.*

Although the student's second comment is a "charter of intentions", it indicates a shift from thematic concern to the linguistic elements which constitutes the text. Her strategy of analysis now includes stanzaic division, repetition, and lexical choice.

Example 2:

First test: *Os termos, adjetivos empregados ao cordeiro estão relacionados com ternura. A pele macia e o suave som emitido pelo animal lembra-nos a meiguice de uma criança.*

(My translation: The terms, the adjectives used for the lamb are related to tenderness. The soft skin and the suave sound produced by the animal remind us of a child's sweetness).

Second test: *To analyse "The Lamb", I would use the strategy of repetition to show how the animal had been put in evidence and how it was important to the poet. He repeats words and expressions to give more value for the qualities of the animal. If I would analyse it now, surely I would notice important aspects that I couldn't do in the begining of the course. I'd have another view. I would be more effective and would try to develop my interpretation paying more attention on the details.*

In the first test, the student looked at the adjectives to define the semantic area. The second sentence, however, does not relate to textual features any longer. In her second test, the student found out a textual pattern (repetition) to justify foregrounding. The second sentence indicates that more attention would be paid to words other than adjectives. A shift in focus is noticed. Whereas in her first test the theme refers to extratextual associations, in her second test, the theme refers to the textual level.

Example 3:

First test: *De acordo com o texto quem criou o cordeiro foi uma entidade divina pelos termos **thee, Dost, thy**. E essa entidade seria Jesus Cristo que é chamado biblicamente o cordeiro de Deus.*

(My translation: According to the text a divine entity created the lamb, as the terms **thee, Dost, thy** indicate. And this entity would be Jesus Christ who is biblically called the lamb of God)

Second test: *The poem The Lamb can be analysed by Comparison/Matching relations. It deals with the nature of the lamb which has clothing of delight, softest clothing, tender voice, make the vales rejoice and compares to the one who made this lamb who is meek and mild, too who became a little child called by Lamb, the children also he called Lamb.*

The poem compared Lamb, Jesus, children by their characterization the three are meek and mild, the three make the world rejoice. It was used biblical pronouns like thou-thee-thy, Dost what lead us to imagine who created the lamb was a divine entity who is compared to its creation(s).

In the second test the student perceived a pattern (Comparison/Matching relations) and tried to build her interpretation by observing the similarity of the terms attributed to the elements of comparison. In addition, perception of pronouns led the student to interpretation. That is, there is an attempt to move from textual elements to mental representations.

Having presented some of the least successful tests in terms of evidence of achievement, we shall now turn to some of the more complete ones:

Example 4:

First test: *The poet says that the lamb was given all the best when he states that God "Gave thee life and bid thee feed ... Making all the vales rejoice". The other aspects are made clear when the poet writes, "He is called by thy name, ... We are called by his name".*

Second test: *The strategy I would use in the analysis of the poem "The Lamb" is to focus on both repetition of some key verses which help to build the central ideas of the poem. In the first stanza, the repetition of the first two verses to close the stanza introduces the question of who the creator of the "Lamb" might be.*

Repetition is present again in the opening and closing of the second stanza. First, it stresses the knowledge of the author concerning the identity of the "Creator"; then it concludes the stanza and the poem establishing a tone of harmony, of agreement, of a pleasing combination and integration shared by both the Lord and his Lamb.

Repetition is, we may say, skillfully used by the poet to work with his central ideas, address the poem's relevant issues, and call attention to them.

In the first test, the student only transcribed some of the words in the poem as support for a very vague interpretation. The second test indicates that two patterns have been found and serve as the basis for her analysis. She looks into stanzaic division, enumerates repetitions and tries to be more specific although she is still somewhat vague in her conclusions.

Example 5:

First test: *The poet is trying to say that God has created the Lamb, with all his characteristics, and has also created man, for Himself; therefore, both represent Him, both are parts of him.*

Na primeira parte do texto, o poeta descreve com detalhes várias características do cordeiro, atribuindo a criação destas por um ser específico, revelado mais tarde. Nesta parte a palavra cordeiro aparece grafada em letra minúscula (inicial) ("lamb"), representando o cordeiro animal, aquele criado por Deus.

Mais tarde o poeta refere-se a cordeiro com inicial maiúscula, o que sugere que o cordeiro aí esteja representando o próprio Deus. Ele diz ainda que Deus tornou-se uma criancinha, e que ele é uma criança, sugerindo que Deus também está nele. Ele junta as duas idéias na frase "We are called by his name". E termina o poema referindo-se ao cordeiro inicial, desejando que Deus o abençoe.

(My translation: ... In the first part of the text, the poet describes in detail various characteristics of the lamb, attributing the creation of these to a specific being, later revealed. In this part, the word lamb is written in small letters (initial)("lamb"), representing the animal lamb, the one created by God.

Later the poet refers to a lamb with big initial which suggests that this lamb is representing God himself. He also says that God became a little child, and that he is a child, suggesting that God is also within him. He joins the two ideas in the sentence "We are called by his name". And he ends the poem referring to the initial lamb, hoping that God will bless him.

Second test: *The poem has three main elements, or characters: the men, the lamb (animal) and the Lamb (God). He stabilishes a relationship among the three, which expresses the strong link that connects them; represents them as parts of a single unit of which God is the nucleus. He stabilishes this relation by using a specific literary pattern, the parallel structure, which is a variety of repetition.*

The poet begins the poem talking about the lamb animal; it's written with small letter. He talks about its characteristic and refers to God, who created it. But he doesn't mention His name. Then he says that "He is called by (his) name" (* the animal). Then he talks about the Lamb God, and related Him to men, when he says "He became a little child". The author joins the two ideas -- Lamb god and child god -- in this sentence: "We are called by his name". The parallelism made this connection possible.*

In this example, the first test indicates a perception of capitalization, which forms a semantic contrast. In the second, this perception is made more complex by a reference to the creation of a tripartite structure (man/lamb/God). Parallelism supports this structure.

Example 6:

First test: *O poeta está tentando dizer que é Deus quem nos dá as coisas da natureza. A resposta para a pergunta feita no primeiro verso seria "Deus". Na primeira estrofe, ele tenta nos levar a essa resposta nos mostrando o que é obra da natureza de Deus. Na segunda estrofe, ele nos dá a resposta. Eu me baseei nos versos 3,7 para achar a resposta da primeira pergunta. Só Deus*

pode dar vida a alguém e "clothing" que eu considerei significar a lã que a ovelha possui, é obra da natureza.

(My translation: The poet is trying to say that God gives us things from nature. The answer to the question asked in the first verse would be "God". In the first stanza, he tries to lead us to this answer, by showing us what is God's natural creation. In the second stanza, he gives us the answer. I was based on lines 3, 7 to find the answer to the first question. Only God can give life to someone and "clothing" which I considered to mean the lamb's wool is a work of nature).

Second test: *My analysis of the poem **The Lamb** now is different. In the first stanza, the repetition of **little lamb** and **who made thee** made me conclude the poet wanted to say who made the lamb. But he created a kind of suspense to reveal the answer because he used a repeated structure **gave thee** (something) as a riddle for the reader to find the answer.*

*In the second stanza, the poet decided to give the answer as it is presented in the repetition of the sentence "**Little lamb, I'll tell thee**". Then, he tried again to make the reader find the solution, so he used the word he to represent the answer and repeated it many times to show he was talking about who made the lamb. In the two last repeated verses "**Little lamb, God bless thee**", the answer (God) is given. It is found by comparing this sentence structure to these similar structures "**Little lamb, who made thee**" and "**Little lamb, I'll tell thee**".*

In the first test, the student made reference to stanzaic division and to the fact that there was a question and answer pattern. In the second test, based on the repetitions she noticed, the student introduces the notion of suspense and the effect produced in the reader by the delaying of an answer (a "riddle"). The question/answer pattern of the first test is now more complex and germane to the poem.

Example 7:

First test: *O poema não é muito fácil mas me transmitiu a idéia de que ele tenta mostrar aonde é possível encontrar coisas que representam Deus. Na primeira estrofe isso ficou muito claro quando o poeta passa a idéia da concepção da vida, da roupa da ovelha, ou seja, seu pêlo, etc. Já na segunda estrofe, o poeta passa a idéia de que Deus se encontra em coisas simples como na criança e na ovelha.*

(My translation: The poem is not very easy but it transmitted to me the idea that it tries to show where it is possible to find things that represent God. In the first stanza this became very clear when the poet transmits the idea of the conception of life, of the lamb's clothing, that is, its fur, etc. In the second stanza, the poet transmits the idea that God can be found in simple things like a child or a lamb).

Second test: *The writer compares the lamb and the child to God. He not only compares but in the first stanza he also exalts the attributes of the lamb that were given by God. The idea of the comparison is confirmed by the different ways "lamb" is written in the poem. Sometimes it is in capital letters (when is referring to God) and sometimes in small letters.*

The different tenses used in the poem stand out two different phasis while the present, used in the second stanza, represents the moment when the questions were answered.

If we analyse the "strophes", we will notice the repetitions and only by analysing them we can be able to answer the question made in the poem. In the first sentence we have an interrogative pronoun, a verb and an object while in the last sentence we have a subject, a verb and the same object. By analysing this repeated structure, we will notice that the only diference between them is that the interrogative pronoun "who" is substituted by the noun "God".

This student makes reference to the difficulty of the text and to the notion that poems contain ideas to be transmitted. In the first test, she uses stanzaic division to support thematic change, that is, as a device similar to paragraphing. The second test initiates with the perception of a textual pattern -- comparison. Then the student looks for more elements in the text to support this first evidence. The first she mentions is the contrast between the capitalization and non-capitalization. She then refers to contrast of tenses. The analysis proceeds with the observation and description of the question/answer pattern on which the poem is structured.

Although we were not expecting any drastic changes considering that the total number of class hours for actual practice and pattern presentation was about twenty-four, these examples are evidence that some modification has occurred²⁴⁴. They also indicate the value of free production. The analyses reveal variation of response depending on what patterns are privileged. Still there is agreement that the meaning of the poem results from the patterns of lexical repetition, comparison and a question and answer structure.

Notes

CHAPTER 8

CONCLUSION

8.1. Summary of Major Assumptions

We are now, reader, arrived at the last stage of our long journey. As we have, therefore, travelled together through so many pages, let us behave to one another like fellow-travellers in a stage-coach, who have passed several days in the company of each other; and who, notwithstanding any bickerings or little animosities which may have occurred on the road, generally make all up at last, and mount, for the last time, into their vehicle with cheerfulness and good humour; since after this one stage, it may possibly happen to us, as it commonly happens to them, never to meet more.

H.

Fielding²⁴⁵

This final chapter offers a synthesis of the four major assumptions which have guided this thesis: first, that Firth's **renewal of connection** (Chapter 2.6.3) is essential to validate any theory, that is, any theory must be checked against experience; second, that a LitAw programme should be grounded in stylistics; third, that EFLit readers may produce original, interesting and acceptable literary interpretations; fourth, that our results can be extended into the areas of Critical Language Awareness and the teaching of EFL.

These assumptions indicate that there is much work ahead, and our results suggest a very fertile ground for further academic research.

8.2. Connecting Theory to Practice

Firth holds that abstracting, though artificial, is a necessary requirement for any statement about language. He adds that any theoretical postulation is only validated when brought to local use (Chapter 2.6.3). Because this thesis has attempted to establish the concept of LitAw and demonstrate a viable methodology, it has been structured in two independent but mutually validating parts, that is, an extensive theoretical discussion followed by an empirical application of the argument. Crombie (1985:viii) rightly notes that

pedagogic proposals ... cannot be taken seriously unless they can be shown to arise out of, and relate directly to, firmly based and clearly expounded theoretical statements and descriptive accounts. If the theoretical base is lacking, then the pedagogic proposals cannot be justified or evaluated; if the descriptive detail is lacking, then it cannot be ascertained whether the pedagogic proposals are capable of implementation.

Here it is important to point out that our course on LitAw has been organized as part of the curriculum to avoid artificially contrived conditions. It has also been our policy, whenever possible, not to take terms for granted. In order to avoid the subjectivism which tends to prevail in literary criticism (for instance, see Chapters 3.1.1 and 4.4.2), we have reappraised common terms such as "stylistics", "literary text", "intuition", "interpretation", "response" (Chapters 2, 3 and 4).

8.3. Why Stylistics?

One of our primary concerns as we began this research was to find out how EFLit students could overcome their feeling of alienation from a literary text in English and gain sufficient confidence to voice their informed opinions about this text. Our immediate purpose was to devise a method which would sharpen the students' sensitivity to literary texts. In the longer term, we intended to engage the students' curiosity to such a point that the literary experience would extend beyond the boundaries of the classroom

Hence, we resorted to a stylistics approach to textual analysis, that is, one in which tools could be offered for discussing the formal and functional features of literary texts²⁴⁶. We were aware of the criticism that such an approach has generated. Carter & Walker (1989:3) point out that the opponents to stylistics appear to assume that:

- stylistics is only concerned with the words on the page, as if meaning were confined to the language of the text.
- stylistics disregards the fact that the reader starts from an ideological position and cannot escape it.
- stylistics is a-historical.
- stylistics does not question the institutionalization of literature and literary language.

Some of these assumptions echo the beliefs of the New Critics of the forties and the fifties (see Chapter 3.1.1; see also Belsey 1980,1991:15-20). We believe that this thesis has refuted these four assumptions by offering:

- a description of stylistics as a proper academic discipline, recognized and pursued in educational institutions (Chapter 4.1).
- a methodology which takes into consideration the reader's personal and social context.

Having said that, we are also aware that not everyone would agree that stylistics is a discipline. Some scholars prefer to regard it rather as an approach (see Chapter 4.1.2). We believe our pedagogical orientation has justified the working definition of stylistics as a discipline which isolates certain linguistic patterns which stimulate the reader's affective response and investigates their **instantial** meaning. Until a theory of the nature of written discourse is established -- and perhaps even after that -- the debate over the nature, aims and objectives of stylistics will proceed²⁴⁷. Sinclair²⁴⁸ has remarked that so far there are no established norms which explain how a reader creates links between textual elements. For instance, what makes an individual bring up a cohesive device such as *however* or *in addition* when these connections have not been formally expressed on the page? What are the norms for the realization of relations in the reader's mind? Instead of norms, Cook (1992) suggests the term *regularities*, based on the notion of choices and combinations and their relation to participants and discourse types²⁴⁹ but his is still much of a *post hoc* perspective. In an extensive study on discourse strategies, van Dijk & Kintsch (1983) describe the processing of semantic information as an on-line event, but they do not provide an explicit model which explains the interpretation of linguistic input.²⁵⁰ So far stylistics has worked on a suprastructural level to explain how semantic links can be justified (Chapter 2.7) but has not been able to offer a rigorous account of how these links can be predicted.

In terms of the description and the organization of stylistic patterns, we have aimed at variety and our basis has been a functional model (see Chapter 6). The patterns have followed closely the Hallidayan description of language, namely the phonological, the lexico-syntactic, and the discursal levels. We have not attempted to achieve comprehensiveness or explicit balance since we have focused on awareness and not on a stylistics syllabus. This intentional avoidance of a definite and organized inventory of patterns results from the belief that in real life readers do not keep a checklist to look up before they make a decision on why the text has produced a certain effect²⁵¹. In this sense, what can be regarded as lack of

theoretical neatness reflects what **really** happens during the act of reading. That is, in the actual encounter with texts, the reader perceives patterns in an unpredictable way.

One of the most significant features of this thesis has been the attempt to build a coherent argument by bringing together a wide range of different theoretical areas in order to characterize **stylistics** as a true interdisciplinary venture and look at its application from the EFL perspective.

Because stylistics draws its models and concepts from linguistic and literary theory it is an essentially eclectic area where the roads of language and literature can meet²⁵². This thesis has shown how students' response can be justified in more objective terms by means of stylistic patterns. In this sense, this work contributes to what has been called **pedagogically-oriented stylistics** (Chapter 4.3.3.6).

8.4. Authority in Interpretation

It has been our contention throughout this thesis that interpretation is possible either because the text makes explicit statements, or because the reader can make inferential postulations. We have agreed with Eco (1979b, 1981:24) that

outside a textual framework, green colorless ideas can neither exist nor sleep furiously, and we cannot understand who (or what) are flying planes.

However, there are other issues which cannot be explained only from textual elements, such as the understanding of humour²⁵³. We have claimed that meaning results from the coming together of text, writer, and reader (Chapter 5.1). This means that there is bound to be a residue in the text which is unsignalled and where one has to bring in shared knowledge. Consequently, meaning is not arbitrarily constructed by one individual.

Pattern perception is a cultural event which depends on a socially constructed convention of relations, or of "inter-individual intelligibility" (Belsey, 1980, 1991:42; see also Fowler, 1991:48-99 on the ideology of consensus). Burton (in Carter, 1982:201) points out that

Stylistic analysis is not just a question of discussing "effects" in language and text, but a powerful method for understanding the ways in which all sorts of "realities" are constructed through language.

Implicit to this statement is the notion that each community will have its own conventions. When we say **community** we are not referring to a group of people who speak the same language. The tacit assumption that validity in interpretation is granted by the linguistic community that generates the text actually conceals the authoritarian position of the academics of literature who are native speakers of the language the text has been written in.

Even within the so-called group of sophisticated readers there are different communities -- those who gather around different causes, creeds, professions, etc. For instance, there are psychoanalysts who may draw attention to Freudian implications in a specific play; feminists, who look into how women are portrayed in literature. Each of these groups will inevitably produce different readings of a text.

Interpretation cannot be dissociated from ideology, here understood as the way people "both live and represent to themselves their relationship to the conditions of their existence" (Belsey, op.cit.:4). What follows is an eloquent example: In 1989²⁵⁴ we wrote an article on Alasdair Gray as a postmodernist writer, instead of examining the influence of the Glaswegian working class condition on his novel *Lanark*. In response to the article, an academic from the University of Edinburgh²⁵⁵ wrote that "the way in which you have mastered Gray is all the more astonishing considering the real and metaphorical distances involved between Rio and Glasgow".

In addition, every generation lives by a different form of validation (see Jauss in Chapter 2.4) There is no greater authority of the English community of academics today to validate Pope over Pope's English contemporaries. If interpretation varies from group to group of the same language speakers and if it varies from generation to generation, the argument that the native speaker of a language has greater authority over interpretation just because he or she speaks the language the text has been written in can hardly be sustained.²⁵⁶

Therefore, throughout this thesis we have argued against the political and ideological assumption that the linguistic community that originated the text legitimizes this text. We have suggested that the EFLit reader may not be fully competent linguistically and

may not be a sophisticated reader of literary texts but may nonetheless bring new and stimulating perceptions if these can be justified within the framework of the text.

The Pilot Project has demonstrated how students can understand the making of a literary text and how they can construct their own interpretation. The course has promoted situations in which students do not assume other people's interpretation but are able to recognize and accept that there are different alternative ways of looking at the same text.

Our argument leads us to the conclusion that interpretation is a synchronic and an intracultural event. That is, a certain group at a specific time will perceive the text in a certain way. The acceptance or rejection of a text by a group will result from the coming together of the cultural requirements of the group and the propositions of the text. If, on the one hand, the degree of shared knowledge the text requires is too distant from that of the group, rejection may occur. On the other hand, acceptance takes place when the cultural assumptions are familiar and recognizable²⁵⁷. Taste, then, results from the comparison between the cultural requirements of a piece and those of the group evaluating this piece. In this sense, it signals the degree of shared ideologies between text and the reader.

We hope to have challenged the tacit assumption that validity in interpretation is granted by the linguistic community the text comes from and pointed out the contribution readers from different cultures may bring to the understanding of a text.

8.5. Pedagogic Implications

We have shown how the claim that most literary analyses begin with a hunch (Chapter 2.3) is of no help to the EFLit student and only proves to be a deterrent to literary studies. It may prevent students from bringing in their own reactions to the text and it promotes dependence on critics' responses. Moreover, the notion that students should imitate the critics is still prevalent, as implied by Blake (1990:8) when he writes that students "may be well impressed by the erudition and critical response of the analyst but uncertain *how* they should emulate him" (my italics). Emulating is taken for granted. Contrary to these notions, we have argued for the EFLit students' active role in the reception, production, and post-processing of texts (see Chapter 4.4).

As the models of reader of literary texts described so far assume the superiority of the sophisticated native reader, we have felt the need to make room for the EFLit student (Chapter 5). Our Projected Reader promotes a non-submissive attitude and suggests a move towards students' **empowerment** and **emancipation** in reading, responding, and writing. By **empowerment** we mean "the process by which students become aware of what the conventions are, where they come from, what their likely effects are, and how they feel about them" (Clark, 1992:118). **Emancipation** is "using the power gained through awareness to act" (idem:119).

The Pilot Project (Chapter 7.2) has demonstrated that these concepts can be transported from developments in Critical Language Awareness (Fairclough, 1989) to LitAw. The benefits are at least twofold. From a linguistic perspective, EFLit students may manipulate language for aesthetic purposes and thus make the language/literary experience their own. Besides, students may feel confident enough (as some in the Pilot Project did) to transfer the knowledge of patterns acquired in the course to texts in their mother tongue. From a cultural point of view, instead of adopting foreign ideological assumptions and beliefs (see Adeyanju, 1978), students rely on their personal responses and thus establish a dialogue between their own culture and the world transmitted by the text (see Chapter 8.4).

In addition, the students in the Pilot Project became aware of the different possibilities of language use and of the sociolinguistic adequacy of certain choices²⁵⁸. In other words, once they were free to choose from their repertoire, students were able to question their own choices and, by extension, those of others.

Our approach has demonstrated that students may become emancipated in the sense of being able to think about language and produce their own verbalizations. This is reflected in their attitude towards a foreign language. The discomfort experienced by EFL learners and the threat posed by a language they do not feel competent in vanish once they realize they can both master and play with it.

Because students can do things with language, submission to the power of the printed page is diminished. Students feel they can challenge writers and will tend to look for what is implicit in the text rather than for what is stated.

Besides promoting critical awareness of language, this thesis has also presented arguments which may strengthen the use of literary texts in the EFL classroom. The claim that literature should not be used in language classrooms because it is too difficult, "deviant", or idiosyncratic is well-known (see Ghazalah, 1987:32; see also Chapter 1.2). The basis for this argument is that there is no point in dealing with "ungrammatical" English when "standard forms" have not been mastered²⁵⁹.

Although the debate over the use of literature in language classes has not been our main focus (see Appendix VII), this thesis offers support for those who believe that "literature is a legitimate and valuable resource for language teaching" (Carter & Long, 1991:4; Duff & Maley, 1990²⁶⁰). The argument in favour of the use of literary texts in EFL teaching based on the integrity of content versus the fragmentary materials of EFL textbooks

has already been made (Brumfit, 1981). Another postulation is that knowing a language is not only being able to cope with menus, maps, and laundry lists or phonebooks, but also with novels, plays and sonnets. Enkvist points out (in MacCabe 1985b:47) that "... unless you know something of the literature of a language, you do not really 'know' the language". In addition, reading literature exercises to a certain extent the student's "negative capability"²⁶¹, or a tolerance to a degree of frustration and uncertainty (see Brumfit, 1985:107).

Here we have shown how working with a literary text the student also develops an ability to use the language in general (see Elliott, 1990). The results of the Pilot Project have demonstrated that by playing with language and adapting the system to their purpose, students are in fact learning more about the structure of the language than if they were only asked to apply rules.

The orthodox view that literature breaks rules whereas non-literary texts are rule-conforming must be questioned. Instead, discussion should centre on the ways in which rules are adapted to serve a purpose, that is, how rules are used. Our course has attempted to prove that there is a freshness and an originality in ordinary language which is an inherent feature of communication²⁶². What is at stake is creative variation, that is, personal creativity. Therefore, our emphasis has been on productivity and on creation.

8.6. Looking Ahead

There is much to be done in the area of LitAw, especially as far as the study of different genres, rhythm and sound is concerned. In addition, the relation between the level of language competence and the sophistication of literary response is still to be explored. Some students may be highly sophisticated readers in their native language but lack the necessary competence in another language to understand literary texts. Even if readers were native speakers, the problem of literary competence still remains.

Works vary in complexity and accessibility (Brumfit, 1981). For instance, a re-run of the Pilot Project (August-December 1992) indicated that there was a difference in students' behaviour. The students in the re-run seemed to be less linguistically competent than those in the Pilot Project and this fact may have affected their response. There was little variation in the perception of patterns in Text 2, which may suggest that Lawrence's text was easier and more obvious to these students. In Text 1, however, lexical cohesion and free indirect discourse were less noticed by the second group of students. This result may indicate that Joyce's subtle use of these patterns requires a more linguistically competent reader²⁶³. Investigations in this area could bring benefits to the classroom, especially in establishing criteria for text selection.

It would also be interesting to examine what kind of adaptations would be required if our Pilot Project were to be carried out by different people in different contexts. Most language/literature materials are produced by multinational publishers who produce the material far from the places they will be used, and who aim at the largest possible audience. As a result, many of these textbooks do not take into account specific needs. This "textbook globalism" views teaching and learning as "a process which can be isolated from learners' previous experiences, knowledge, competences, and skills" (Dendrinos, 1992:4). To make the situation more difficult, the prices of books have become prohibitive and facilities (libraries, self-access centres, etc.) remain poor in many countries.

Therefore, we support the development of locally-produced teaching materials. Local teachers may not have the command of English that speakers of English as a first language do. However they are more sensitive to students' linguistic and social background, to their needs and expectations and will be in a better position to select literary texts that will suit their students' interest and language competence. McRae (1991:435) comments that "what is interesting is that the majority of these new materials originates outside the UK as the product of practical teaching experience and experiment." He adds that "perhaps one of the trends of the next few years will be to build upon this practical overseas experience in the selection of new materials for publication" (idem, ibidem).

Throughout our work we have kept in mind university teachers of literatures in English in non-English speaking contexts who have little training in linguistics but who look forward to developing more principled statements about certain effects language produces in literary texts. In this sense, this thesis is a genuine effort to make literary studies both more critically-oriented and more formally explicit²⁶⁴

We have maintained that the classroom is not the place for final statements about literary texts. Instead, we have suggested that the students be given the opportunity to construct meaning from the relations they perceive in the text. We have also pointed out that different readers will guarantee multiplicity of interpretations. This thesis has offered analytical tools which enable readers to make coherent observations about the structure and the meanings of a text.

We have also proposed a system of assessment which takes into account process-based evaluation. This kind of evaluation is very valuable as it takes into account the collective and the progressive work of the student and does not rely merely on an isolated piece of work, as for instance, a formal written examination. On-going assessment seems to

be more adequate in an educational setting. It focuses on performance and allows students time for maturation. Further research into this area would contribute towards making assessing in literature a more balanced and objective activity.

Teaching LitAw requires some degree of training. In order to carry out LitAw programmes, teacher-training centres should be established. Discussions should concentrate on at least three areas: on what is taught (text selection), on the way it is taught (the approaches), and on the reasons why it is taught (the purposes and the objectives). We believe the method described in this thesis must be renewed and rethought in the light of different contexts and of new developments both in the field of Linguistics and of Literary Theory.

The integration of language and literature can work on different levels and with different objectives. We have limited our experiment to young Brazilian adults at a university in Rio de Janeiro. It would be interesting, for instance, to adapt the method for children. In this case, we believe the notions of pictorialization and of neologism (see Units 6 and 7 in Appendix I) may turn out to be extremely effective with young students.

Further developments could include adapting the method and the techniques proposed here to other literatures and languages both in native and in non-native settings. Puns, jokes and irony may prove to be a rich area for future study. In this thesis we have looked into surface realization but I believe that a comparative investigation between readers of different cultures may lead towards more abstract and universal categorizations.

It would also be interesting to verify how native English speakers respond to the course we have proposed. It cannot be denied that native and non-native readers read differently. Native readers tend to be more confident and to take much of the reading for granted, whereas non-native readers are more careful and tend to slow down the pace of reading, paying more attention to structure and to vocabulary. The question here would be to verify if and in what ways the construction of meaning by native and non-native readers would actually affect the appreciation of a literary text.

We have shown how literary texts can be used for the creative and pleasurable experience of reading and as springboards to language manipulation. The experience of producing alternative worlds and unexpected uses of English may bring about more awareness of the language itself. By engaging into previously unknown experiences and understanding how different people from different cultures interact and perceive the world, the reader will be undergoing a process of acculturation. Further investigation into concepts of Language Awareness and Literary Awareness is needed before we are able to establish a clear ground between these two areas. As we see it now, they share common ground. Both involve "seeing through language" (Carter & Nash, 1990). The question may be in seeing **what**. Here we have limited our criteria to the notions of function and use (see Chapter 3.2.3).

This thesis has suggested that pattern perception depends on the reader's ideological assumptions and on his/her previous linguistic and literary experience. From this perspective, patterns may reveal not only the constitution of the text but also both the reader's and the writer's ideology. The writer may not be aware of the beliefs underlying the construction of a text and it is the sensitive reader's job to recapture them. Studies in Critical Language Awareness have been looking into this aspect of language. A very interesting development of the *Time to Create* section in the coursebook proposed here would be to have students investigate their own production to find out the assumptions and beliefs that have guided their own choice of language.

Integrating language and literature means that not only must literature teachers use linguistics to support their interpretations but language teachers are expected to use literary texts in their classes. Many language teachers, however, regard literary texts as a mere appendix to their programmes, as something to do if there is some spare time. It must be stressed that literary texts are intellectually stimulating. They allow readers to create worlds with which the readers may not be familiar with and the way they do it is by relying on the

language of the text. Moreover, literary texts are not explicit. Much of the meaning has to be inferred. In this sense, literary texts can bring a rich contribution to language classes. Research may be carried out on the inexplicitness of everyday language as compared to that of the language of literary texts.

Here we can only hope that new theories will develop from our postulations. Our course totalled 24 hours. Given more time, with more teachers involved in the production and application of the materials, the results may have been more substantial²⁶⁵. The Pilot Project did not work miracles but we can justifiably claim that the students who underwent the experience have had a new and stimulating beginning into literary studies.

It is this conclusion that encourages us to believe that, by helping students to strengthen their critical capacity at the outset of their literary courses, we shall be giving them a solid preparation for further work in literature.

Notes

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Writing a thesis away from relevant centers of information has required much effort. As far as possible, we have attempted to keep up with the most recent publications. Wherever possible, original editions rather than translations have been used. Where pages are

cited in the body of the text, the year of the first edition and the one actually used are mentioned. Where there are no page references, only the year of the first edition appears in the text, although the bibliography indicates both the original edition and the one used in the thesis.

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- ZYNGIER, S. (1981) "Teaching literature to undergraduate EFL students". *English Teaching Forum*, vol. 19, January, pp. 33-4.

¹ in Nisin, 1959:1.

² Portuguese has recently acquired a very precise term for this phenomenon -- *conscientização*. Instead of "arriving at a state", this word means "taking cognizance of something" (cf. Ferreira, Aurélio Buarque de Hollanda. *Novo Dicionário da Língua Portuguesa*, 1975, 1a. edição, Rio de Janeiro, Editora Nova Fronteira). The term *conscientização* reinforces the idea that arriving at the state of awareness is an act of will which requires some degree of determination. The information that "the term was coined by Paulo Freire in his adult literacy work in the early 1960s, and in his usage has political as well as educational connotations" (in Scott, 1991:278) is erroneous, as Freire himself explains: "It is generally believed that I am the author of this strange word *conscientização* as this concept is central to my ideas on education. In fact, the word was coined by a group of teachers from the Instituto Superior de Estudos Brasileiros around 1964... As I heard the word *conscientização* for the first time, I immediately realized the depth of its meaning. I am absolutely convinced that education, as a practice of freedom, is an act of knowledge, a critical approach to reality" (in Freire, 1980:25 - my translation). Although there are political implications in our method as well (see Chapter 8.5), our use of the word does not follow the orientation of Freire's method. Freire intended primarily to educate the students politically through the process of teaching them how to read. We are only concerned with the educational aspects involved when one learns how to take cognizance of the literary text.

³ Rodger (1983:39) makes a similar claim. He writes: "... students of literature need above all else a gradual, patient and systematic training in how to read literary works".

⁴ Posner (1973:108) describes how the state of alertness can be enhanced by focused tasks. This state of alertness has been proved to provoke a change of pattern in the brain activity, especially in reaction-time studies, such as the "get ready, get set, go" sequence for runners. These preparatory remarks can also enhance detection of weak signals, such as listening to a particular sound amongst various others.

⁵ in "The Rape of Lucrece", ll. 1422-1428, *The Complete Works of William Shakespeare*, ed. W.J. Craig. London: Oxford University Press, 1964, p. 1101.

⁶ For a survey of the various definitions and descriptions of reading in the sixties, see Clymer, 1968.

⁷ For an analysis of Jakobson's use of the term, see Taylor (1980:52). He explains: "*Einstellung* in this context refers to a habitual procedure for dealing with repeatedly encountered problems of a similar type. In this light it

may be seen that the problem to be solved is the communication of a message and that the habitual procedure available for doing so, according to Jakobson, involves the relation of the linguistic message to its interpretants, i.e., to one or more of the constitutive factors of the speech event". See also Chapter 4.2.

⁸ in *Encyclopedia of Psychology*, ed. R. Corsini, NY, Chichester: John Wiley & Sons Inc., 1984, p. 296.

⁹ in Scott, 1991:284.

¹⁰ in Pound, 1951, 1968:62.

¹¹ Crystal (1981:153-4) verbalizes the question which still awaits an answer. He asks: "... how do we know what to count? Do we simply "notice" a feature, and assume that our allocation of it to a particular category is valid because we are stylisticians? This is scientific arrogance... So, how do we determine the validity of our intuitions?" This thesis suggests a way out (see Chapter 8.5).

¹² This distinction may provide subsidies for criticising positions which hold that stylistics is primarily intuitive. Here is an example: "Counting on intuition for extracting stylistic devices and functions is the cornerstone of any literary stylistic activity. Whether this is faulty or not is a different matter" (Ghazalah, 1987:50).

¹³ cf. Stephen Daedalus's definition of *claritas* in Joyce, J. *The Portrait of the Artist as a Young Man*, ed. C.G. Anderson, NY: Viking, 1967.

¹⁴ Leech (1985:50) also contributes with an instance of subjective evaluation. On commenting on the iambic rhythm and the syntactically self-contained factors of Shelley's "Ode to the West Wind", he claims they "help to explain why it seems to express a sense of repose and finality, after the restless movement of preceding stanzas. Its return to simplicity and order is like the perfect cadence at the end of a seemingly unfinishable Bach fugue".

¹⁵ Lodge (1966, 1984:80-81) agrees: "It is my own experience that the moment of perceiving the pattern is sudden and unexpected. All the time one has been making the tiny provisional notes, measuring each against one's developing awareness of the whole, storing them up in the blind hope that they will prove useful, and then suddenly one such small local observation sends a shock like an electric charge through all the discrete observations heaped up on all sides, so that with an exciting clatter and rattle they fly about and arrange themselves in a meaningful order".

¹⁶ Personal communication (1991).

¹⁷ in *Hamlet* II.ii.641-2. *The Complete Works of William Shakespeare*, ed. W.J. Craig. London: Oxford University Press, 1964, p.885.

¹⁸ cf. Dewey, 1934, 1958:308.

¹⁹ The term **text** here refers to instances of poetry, prose, or drama which can only be realized through reading. For a definition of **literary text**, see Chapter 3.1.

²⁰ Here we are in line with de Beaugrande (1988a:15) who distinguishes between "higher-level descriptions of cognition and performance", or theoretical postulations, and response in terms of experiencing "the world of the work, identifying with its characters and their goals, undergoing powerful emotions, experiencing sensations of pleasure and pain, beauty and repulsion, tranquility and terror..." Carter (1982b:28) provides a different definition. He writes: "... the response to a literary text seems to concern a particular sensitivity to the text, the acquisition of which is taught as part of a developing literary maturity, and which often involves relating words to points of contact in our literary heritage".

²¹ Iser (1978:ix) explains why he prefers the term **response** to **effect**.

²² The fact that Iser has been spared much criticism deserved Fish's ironic comment in "Why No One's Afraid of Wolfgang Iser" (1989:68). This is what Fish says of Iser: "he is influential without being controversial, and at a moment when everyone is choosing up sides, he seems to be on no side at all or (it amounts to the same thing) on every side at once." Fish shows how Iser can produce contradictory statements and get away with it (see Chapter 4.4.1).

²³ cf. I.A. Richards (1924:21): "We continually talk as though things possess qualities, when what we ought to say is that they cause effects in us of one kind or another...". In Chapter 3.1.1 we disagree with Richards, not in principle, but in the use to which he puts his beliefs.

²⁴ Wilde, Oscar. *The Critic as an Artist*, in *Selected Works*, ed. R. Aldington, London & Toronto: William Heinemann Ltd., 1947, p. 78.

²⁵ Mills (1989:3) explains how the term **intertextuality** was coined by Julia Kristeva to indicate the attribute the text has of referring endlessly to other texts. Cf. also endnote 14 in Chapter 1.

²⁶ Widdowson (1985:184-185) supports this notion when he draws a distinction between **study** and **learning**. To him **study** implies "the pursuit of knowledge about something" whereas **learning** means "getting to know how to do something as an involved first-person performer". He remarks: "The most common assumption appears to be that literature teaching is concerned exclusively with study so that students are expected to make critical observations about literary works, *on the supposition that they have already learned how to read them* (his italics). Not surprisingly, students find this difficult to do".

²⁷ in Sinclair, 1968a:242.

²⁸ This same belief seems to have guided the introduction of literary studies in the academic curriculum (Graff, 1987).

²⁹ de Beaugrande (1988a:10) connects the Formalists' notion that literature de-automatizes (see Chapter 3.1.2) to recent research on perception and comprehension in order to justify the fact that the literary experience requires "a rise in effort and complexity by expanding and diversifying possible meanings". According to him, the reader tends to operate systematically in the active creation of a possible world.

³⁰ Garner actually bases much of her work on Flavell's studies.

³¹ Emmott (1992:222) notes that a psychologist and a linguist differ in the way they deal with how information is stored. She writes: "A psychologist doing this would generally question or test a human subject in an attempt to reveal how the mind works. A linguist, on the other hand, examines text and infers from it what must be happening in the mind if a reader is to understand the text at a basic propositional level".

³² Fowler (1991:43) reaffirms the relevance of scheme to cognitive psychology, although his definition implies the social relevance of the concept. He writes: "A schema is a chunk of unconscious knowledge, shared within a group of people and drawn upon in the process of making sense of the world" (cf. also his definition on page 60).

³³ In her study of mental representation in narratives, Emmott (1992:226) defines **frames** as "mental stores which monitor a particular location at a particular time together with details of all the people and objects in that location".

³⁴ A macrostructure is the theoretical account of the gist, the theme, or the topic of a text. A macrostructure is made of several levels of macroproposition. Above the macrostructure there is the superstructure, which provides the overall syntax for the global meaning (cf. van Dijk & Kintsch, 1983).

³⁵ van Dijk (1979b:147) adds: "We should even assume that because macro-propositions can only be formed on the basis of our knowledge of the world, STM must also, at least momentarily, contain propositions which come from this knowledge of the world as it is stored in LTM".

³⁶ Later, van Dijk and Kintsch (1983:15) reformulated this postulation on local coherence. They still held that the user referred to clause ordering, explicit connectives and knowledge from LTM in order to decide on local coherence, but they suggested that this coherence was established as soon as possible without waiting for the conclusion of the sentence or clause.

³⁷ See reference in Chapter 2.3.

³⁸ **Script, schema, or frame** "is a knowledge structure which ties together information in memory. It is a label with slots that stand in some prearranged relation to each other. Each slot accepts information of a given type. 'Information' here may mean concepts, propositions, or even other schemata" (van Dijk & Kintsch, 1983:307). Schank & Abelson (1977:38) had previously defined **script** as "a standard event sequence".

³⁹ Van Peer (1986b:285) points out how a "literary" type of text presupposes the reader's higher tolerance to open structures.

⁴⁰ Joyce, James. *Dubliners*. Middlesex: Penguin, 1914, 1974.

⁴¹ Joyce, op. cit. (Chapter 2.3).

⁴² First published in 1922. Joyce, James. *Ulysses*. Middlesex: Penguin Books Ltd., 1985.

⁴³ First published in 1925. Woolf, Virginia. *Mrs. Dalloway*. London: The Hogarth Press, 1963.

⁴⁴ cf. Winter, 1986:108: "It is the likelihood of such a linguistic context that makes it possible for us to select very small text structures of two sentences long, since our audience brings their knowledge of this large context to "fill in" what we might **not** have selected from it. This is what ensures their understanding of the significance of our selections."

⁴⁵ For a justification of our discussing Iser and Fish together in Chapter 4.4.1, cf. Eckert (1984), who writes: "Fish is oriented toward phenomenology for he implies that understanding a text is a collaboration, a collusion, between the reader and the text".

⁴⁶ Chomsky wrote his Ph.D. thesis on transformational grammar in 1955.

⁴⁷ The bipartite structure of this thesis follows Firth's suggestion and attempts to connect theory to practice. See also ESL's determination to carry out theoretical research together with empirical observation (Chapter 4.4.4).

⁴⁸ For a similar and more recent statement, see Gumbrecht (1989:376-7), who writes: "I also feel uneasy with the now fashionable tendency to blend the literary with the critical discourse, because it necessarily implies the assumption of an insufficiency of the literary authors -- as if their discourse had to be redeemed by a kind of intellectual superior mediation".

⁴⁹ cf. also Firth, 1958d:31.

⁵⁰ Later, Sinclair (1991c:170) defines: **collocation** is "the occurrence of two or more words within a short space of each other in a text".

⁵¹ Following Firth, Halliday proposes categories for the theory of grammar (in *Word 17*, no. 3, 1961). Later, Hoey (1991:219) modifies Halliday's model. Hoey suggests a mirror image instead of a rank organization.

⁵² in M. Gardner (ed.) *The Annotated Alice*, p.48 (see bibliography for complete reference).

⁵³ in Saavedra, Miguel de Cervantes (1605,1615)(1960). *Don Quijote de la Mancha*, vol. 1. SP:Editora Edigraf.

⁵⁴ in Shakespeare, W., op. cit.

⁵⁵ in the preface to *The Nigger of the "Narcissus"*, Middlesex: Penguin Books Ltd., 1897, 1986, p. 11.

⁵⁶ The reason for this section is justified by Carter & Nash (1983:123) who write that "in attempting to define a phenomenon like literary language, however elusive that phenomenon may be, we are, in part at least, asking the question -- what *is* literature?"

⁵⁷ cf. de Beaugrande's principle of **alternativity** (1988a:8) and Becker's (1979:215) statement that "imagination is an aspect of language".

⁵⁸ cf. Huizinga (1938, 1971): "I believe that after *Homo faber* and perhaps even at the same level of *Homo sapiens*, the expression *Homo ludens* deserves a place in our language" (my translation).

⁵⁹ cf. Ghazalah (1987:18). See also Carter & Burton (1982:2).

⁶⁰ Although Eliot protested against the impressionism of criticism, much of his work is still founded on oratory rather than on description and analysis as the argument of this section shows.

⁶¹ For a brief description of the differences between Anglo-American and European postulations, see Collini (1992). For a criticism of the impressionistic approach of traditional literary critics and Practical Critics, see Ghazalah (1987).

⁶² cf. the analogy to the title of Leavis's *The Great Tradition* (1948, 1950). London: Chatto & Windus.

⁶³ For a detailed analysis of Leavis's style, see Birch, 1989. For an analysis of the cultural implications of his style, of how Leavis's stylistic strength rests on his challenge of habitual assumptions about judgement, see Kress & Hodge, 1979:112-116. Lodge (1966, 1984:67) argues that critics like the Leavises ultimately perform ethical judgements instead of literary ones.

⁶⁴ Here we also include I.A. Richards and his method of close reading. In fact, it was the early writings of Richards (1924)(1929) which fostered what came to be known as Practical Criticism in England and New Criticism in America (cf. Fowler 1971:105). For an argument against Practical Criticism in the teaching of literature, see Carter & Burton (1982:2) and Carter (1982b).

⁶⁵ Initially a group of critics and poets from the American South, including Robert Penn Warren, Allen Tate and Cleanth Brooks, the New Critic movement extended to include other names such as W.K. Wimsatt and René Wellek.

⁶⁶ Easthope (1991:4) argues that for Leavis "Society is not to be thought of as a democracy but rather as an oligarchy with concentric circles of the elite". He points out that the Arnoldian and the American traditional

humanism failed because reading Shakespeare or Goethe did not necessarily make the reader a better person, someone who "...could enter imaginatively into the experiences of others, thus learning to respect truth and value justice for all"(idem:9). Steiner (1968, 1972:45) remarks that the idea of humane culture fails when, for instance, "individuals can play Bach well and read Pushkin with insight in the evening while in the morning they carry on with their jobs at Auschwitz and in the police cellars".

⁶⁷ All the references to Eliot have been taken from his essay "Tradition and Individual Talent" in Rylance, 1987, 1990. Cf. also Tompkins's (1988:219) remark that Richards believed in the civilizing function of literature.

⁶⁸ cf. van Peer (in Sell, 1991:134): "Literary canons thus act as a cultural cement among individuals of a certain social group, often to the extent of excluding those not familiar with the canon from the circle of knowledgeable persons".

⁶⁹ cf. also Tompkins (1988:220): "Plato banishes poetry from the republic because it stirs the passions; Richards looks to poetry for salvation because it keeps the passion under control".

⁷⁰ Gumbrecht (1989:376-7) comments that instead of criticising a specific text some contemporary critics create a more literary discourse than the one they are focusing on, "as if they intended to redeem the literary work from an intellectual insufficiency".

⁷¹ Birch (1989:96) writes: "Bateson, like Empson, recognized that the supposed neutrality and 'innocence' of Anglo-American New Criticism was, in fact, orthodox revisionism".

⁷² References to Brooks have been taken from his "Irony as a principle of structure" in Rylance, 1987,1990:37-47.

⁷³ Fowler (1971:16) also criticizes the New Critics. He writes: "There's a damaging romanticism about the New Critical stance: this verbal object, the poem, is an "urn", an "icon", a "monument", a thing with clear-cut edges which you can place in front of you and admire in its self-sufficiency".

⁷⁴ One of the most recent works based on Richards' postulations is Widdowson's *Practical Stylistics* (1992). Here, the text is also dissociated from context, though Widdowson supports a democratic view of a reader's response to the text. Most of Widdowson's theoretical claims come very close to our own. His book "is intended to encourage students to engage as individuals with poems as primary texts" and opposes "expert exegesis" (idem:189-90). Holst (1993) holds the book in a favourable light praising Widdowson for drawing a principled account on how to engage into the language of the text. In the first part he describes his theory of poetry and in the second, how to use it in a classroom of speakers of English as a first language. Widdowson concentrates only on lyrical poetry and claims he does not favour impressionistic explanations. He argues for textual justification. However, his transference from theory to practice does not occur without problems. Widdowson oscillates between Linguistic Stylistics and Practical Criticism, spotting patterns but using extra-textual references to explain them. For example, in his analysis of the Lear-Cordelia dialogue, he writes: "In the concluding chords of these last lines, then, the final note is *one of coldness*: (idem:29)(my italics), or "This further significance is faint and subjectively apprehended, inexplicit and elusive, as all represented meanings must be" (idem:ibid.). Still again, "Of the twenty or so noun phrases in the two verses (on average about one per line) only five are *garnished* with descriptive adjectives and even these are *very meagre and uninspiring*" (idem:35) (my italics). Of symbolic overtones is "The lines here have the resonances of a Christian hymn. The text on the gravestone carries the sound of church singing, and this too is part of its meaning. As with all poems, this one vibrates with intertextual implication, for all poetry is a kind of reverberation of endless echoes" (idem:4). Widdowson initiates his analyses on Linguistic Stylistics grounds but ends in subjective metaphorical assumptions. Ultimately, his object of investigation is mysterious and his analytic terms are vague and imprecise. Indeed, he does propose a more democratic approach to literary texts, but we doubt whether his application is the most suitable one for an EFLit student. Our programme avoids characterizing literary texts as "elusive" (a frequent term in Widdowson's work). It intends to develop precision in identification and verbalizing of the element in the language of the text which has led the reader to react in a certain way. In addition, the technique of paraphrasing which Widdowson proposes had already been suggested by Gibbons (1979).

⁷⁵ For a fuller account of their contribution, see van Peer (1986:1-9).

⁷⁶ cf. Propp, Vladimir. *Morphology of the Folk-Tale*, transl. from the Russian. 2nd edition. Bloomington: Indiana University Press (1928, 1968).

⁷⁷ For rule-breaking in terms of speech acts and flouting conversational maxims, see Ohmann (1971) and Pratt (1977).

⁷⁸ cf. also Burton's (1980) use of the Brechtian **Alienation Device** in her analysis of Pinter's plays -- a methodological device for "making something special out of an ordinary one".

⁷⁹ It was Garvin (1964) who translated the Czech *aktualisace* into the term **foregrounding** and was thus the first writer to apply this term to literature. See also van Peer, 1986:5.

⁸⁰ In a later study, Leech (1985:47) seems to merge prominence into foregrounding when he states that it is "an effect brought about in the reader by linguistic or other forms of deviation". To him, foregrounding requires an "act of imaginative interpretation by the reader".

⁸¹ A term coined by Jakobson in 1921 (cf. Pratt, 1977). P. Werth (1976) shows that the mere existence of devices such as parallelism does not guarantee literary status to a text. Carter & Nash (1983) suggest a "cline of literariness" instead of a literary property. However, they get into some trouble when they say that there are some "words and locutions which are recognizably literary". They accept a "literary lexicon" which could easily be translated into literary property. They seem to suggest that what guarantees literary quality is the complexity of literary devices deployed by the text. Here they come closer to Leech (1969) than they would be willing to accept. Nevertheless, they do concede that a literary text is not made of literary words. Much before Carter & Nash, in 1971 Stankiewicz (in Pratt, 1977:27) had already proposed that literariness was to be seen as a continuum.

⁸² For language as deviation, see also Thorne (1965), Leech (1969), Levin (1965). See also Widdowson (1972:296), "it remains true that deviance is a common feature in literary texts... It is true that one feels that deviance is in some sense an essential feature of literature and of poetry in particular". Widdowson distinguishes between **deflection**, or violation of the internal norm, of the pattern established by the work, and **deviations**, which are violations of the linguistic norm. Cf. also Sinclair, 1966 and Halliday, 1971.

⁸³ Sinclair (1968b:39) attributes the loss of interest in the linguistic discussion of literary texts to this notion of literature as deviation.

⁸⁴ Short 1986:152, however, holds that "there is no hard and fast **linguistic** distinction between what is often (and in my view, mistakenly) called **literary** and **non-literary** language". He believes the distinction is socio-cultural rather than linguistic. What he claims is that **both** literary and non-literary texts may present deviations from the norms, that is, that deviation does not necessarily characterize a text as literary. In this section we question the notion of deviation in favour of a relational approach. For a criticism of both the relational and the formalist approach, see García-Berrio (1989, 1992).

⁸⁵ cf. also Widdowson (1992:10): "Poems are uses of language, and they can be understood as uses of language. But since these uses are unusual, so they have to be understood in ways which are different from those which are common in the management of ordinary life."

⁸⁶ Instead of deviationists and relationists, Leech & Short (1981) offer a different classification. They distinguish three main positions -- dualism, monism, and pluralism. In fact these positions turn out to be four -- if we include the multilevel, multifunction approach they favour. According to them, dualism regards literary language as a kind of ornament, or the "icing on the content cake" (Pearce, 1977:31). Platonic in essence, dualists separate form and meaning. An example is Ohmann's (1964:423) statement that "the words on the page might have been different or differently arranged, without a corresponding difference in substance". Here they include Barthes's notion of a neutral language (Barthes, 1967). However, they claim, every choice is stylistic and affects the reader in some way. The question is deciding which of the many possibilities is significant for aesthetic purposes. The Monists hold the Aristotelian view that form and content are one. Any change in form entails a change in content. For instance, Lodge (1966:ix) says: "The novelist's medium is language. Whatever he does, *qua* novelist, he does in and through language". The third position, pluralism, is in fact a sophisticated form of monism with a theory of language to support it. Leech & Short quote Halliday's (1971) analysis of Golding's *The Inheritors* as an example. Leech & Short see weak and strong points in all three arguments and call for a multi-level, multi-function view of style. However, their final tenet, that "it is possible to distinguish between what the writer chooses to talk about and how he chooses to talk about it" (op.cit.:39) reveals a dualistic preference. Moreover, the reader's response to the effect of the choices is not made clear. How are readers to discriminate which choices to investigate? Leech & Short assume the "text shows a repeated preference" for such and such a structure. Our practice has proven otherwise. The reader has to build up the relations. The text does not **show** anything.

⁸⁷ in MacCabe, 1985b:43.

⁸⁸ MacKenzie (1990) reviews eleven different theoretical postulations and points out that those critics who hold that literature involves all three entities are not much well-regarded. Critics usually do away with one or two of the elements. The author and the reader are not relevant to the New Critics and to Wimsatt; the reader and the text are not considered by Hirsch; Riffaterre disregards the author; to Holland, only the reader is relevant. LaCapra (1983:38) questions the author's responsibility. He criticizes the arguments for the author's intentionality as "a predominantly normative position that is out of touch with important dimensions of language use and reader response". See also Easthope (1991) for a similar argument. Van Peer (1986a:21) considers the three elements. He writes: "On the basis of the text as object, i.e., as a linguistic materialization of individual

and/or social aims, an interaction process between author and reader(s) comes into being". Fowler (1991:60) also accepts the three elements. He writes: "...the text is co-produced by writer and reader, negotiating the nature and significance of a piece of language, on the basis of their more or less shared knowledge of the world, society and language itself".

⁸⁹ cf. "An Interview with Martin Montgomery" in *Past, Present, Future, ELT Newsletter*, Brazil: The British Council, pp. 23-6, July 8, 1992.

⁹⁰ in Eco, U. , 1979, 1981:144-172, "Narrative Structures in Fleming", first published in *Il caso Bond*, O. Del Buono & U. Eco (eds.), Milan: Bompiani, 1965.

⁹¹ We are grateful to Tom Matheson for raising this point (personal communication, January 1993).

⁹² in vol. 337, June 1, 1991.

⁹³ cf. Bruner, J.S.; Postman, L; & Rodrigues, J. "Expectation and the Perception of Color", *American Journal of Psychology*, vol. 64, Austin, Texas, 1951, pp. 216-227, reprinted in Beardslee, D. & Wertheimer, M. *Readings in Perception*, NY, 1958. For a discussion on how color perception is culturally-bound, cf. also Luria, A.R. *Cognitive Development: Its Cultural and Social Foundations* (transl. Martin Lopez-Morillas & Lynn Sollotagroff), Cambridge, Mass.: Harvard University Press, 1976.

⁹⁴ Riffaterre (idem:171) adds: "The stylistic context is a linguistic pattern suddenly broken by an element which was unpredictable".

⁹⁵ Lee (1932:40) explains how in music the listener organizes his/her perception in terms of the scales or harmony "he habitually hears *in use*" (my italics). Intuition and feeling are translated into musical space and time, i.e., how notes move and group themselves. To Lee, it is habituation which makes "the complex and mysterious faculty called the Ear perceive and foretell the movement of intervals within one scale and from that to another symmetrically constituted scale and back again..."

⁹⁶ We are indebted to Tom Matheson for pointing out these false alternatives. Personal communication, February, 1993.

⁹⁷ Information provided by Jeremy Clear after consulting the COBUILD corpus (February 1993):

	collocates			node	collocates		
positions	-3	-2	-1	voices	+1	+2	+3
many	nc	nc	31		nc	nc	nc
heard	20	43	55		26	25	31
hear	nc	55	39		nc	nc	nc

nc = not checked

This table proves the high incidence of the collocation of "many" "voices" and "heard", when "voices" is the node. On the other hand, when "syllable(s)" is the node, there are 0 (zero) occurrences with either "unintelligible" or "appal(l)s)". Hence, the language in Plath's poem is more unpredictable than Strong's linguistic choices. For further discussion on collocation, see Sinclair, 1991b.

⁹⁸ cf. COBUILD English Dictionary (1990): "appals... also spelled...appalls in American English". See endnote 43.

⁹⁹ cf. Sinclair (1982b): "We are gradually finding out that utterances obey statistical laws despite the free choice of speakers. From the point of view of the listener, the mature and experienced user, the likelihood of a speech event will be an important factor in interpretation, and the perception of stylistic patterning like alliteration, structural parallelism, pun, etc. will be informed in part by the chances of its occurrence without meaningful intent".

¹⁰⁰ Steiner (1968, 1972:150) reminds us that the polysemy of language is no novelty. He notes "that a same word can mean different things" and that the articulation of this diversity "simultaneously has been known since the day when Odysseus used a linguistic pun to rout the Cyclops".

¹⁰¹ cf. also van Peer's (1986a:184; 1991) homiletic function of literature.

¹⁰² Ghazalah (1987:4ff) sees **function** from a narrower perspective. He assumes that the function of literature is "the representation of a world beyond itself" and thus does not establish a link between the function of the text and its language. He associates function to symbolism and dissociates it from linguistic forms.

¹⁰³ Stierle (in Prado Coelho, 1982:345-6) suggests that the same text can be received as fictional or as non-literary. He notes that texts that read as non-literature, that is, those oriented towards something external to

literature, require centrifugal reception. Their goal lies beyond the text, in the field of real-world action. Fictional texts, on the other hand, bear a centripetal orientation, that is, their goal is to be found within the world of the text. They do not relate to the real communicative situation.

¹⁰⁴ cf. de Beaugrande 1988a:9: "I could hardly claim to address what literature "is", because it "is" what people do with it, and those activities are quite diversified".

¹⁰⁵ Croce, 1909,1964, pp.151-2.

¹⁰⁶ or, "New Stylistics", as Fowler (in Verdonk, 1986) calls it. Kachru & Stahlke (1972:viii) see stylistics as "that area of linguistics which presents a theory and methodology for a formal analysis of a literary text. In such a theory (or theories) the focus is on the language features of a literary text. Van Peer (1986b:278) defines stylistics as a descriptive heuristic method within the general field of textlinguistics. He argues that stylistics provides textlinguistics with the methods of linguistic observation, description and comparison.

¹⁰⁷ Leech (1985) distinguishes between "general stylistics", or the study of style in any discourse, and "literary stylistics", or the investigation of style in literary texts. In Chapter 4.3.3.4 we refer to "literary stylistics" *strictu sensu* as one of the empirical approaches. Therefore, we do not add an epithet to stylistics at this stage, although this thesis is only concerned with style in relation to literary texts.

¹⁰⁸ It was actually Bally, a pupil of Saussure, who began the systematic study of stylistics but gave little attention to literature. His *Traité de Stylistique Française* (1902,1921) deals with the expressive content of language. We shall not investigate Bally's stylistics as he excludes didactic and aesthetic values. Moreover, Bally's is a stylistics of *langue*, not of *parole*. Alonso (1957, 1960) follows Bally but distinguished between *langue*, the object of grammar, and *parole*, the object of stylistics. Alonso, however, sees literary reading as an intuitive act. His frequent references to God and inspiration makes his theory sound almost like a kind of religion. Hough (1969:25) sees Bally as the inventor of the term "stylistics" but not in reference to the study of literary style. Taylor (1980:16) writes: "The discipline of structural stylistics, as it appears in the writings of Charles Bally, Michel Riffaterre, Roman Jakobson (who referred to the discipline as "poetics") and the generative stylisticians, arose in order to explain certain common-sense intuitions about verbal communication that are not explicable... within the *sui generis* linguistic model".

¹⁰⁹ We shall avoid the debate over the definition of style. For a historical account, see Hough (1969). We also refer to Lamarque (1992) for an association of style and thought which extends beyond linguistic and artistic grounds.

¹¹⁰ cf. *The Poetics and Linguistics Association (PALA)*. Here are its aims: "PALA's principal aim is to encourage cooperation between scholars and teachers interested in language and/or literary studies. The interests of PALA members are wide, and this is reflected in papers given at PALA conferences. Interests of members include: stylistics, literary theory, the teaching of discourse analysis, textual understanding, rhetoric, narratology, semiotic approaches to text and performance, sociolinguistics, cultural studies, post-structuralist theory; in short, any theme which has relevance to the study and teaching of language and literature and their role in society" (from a printout for the 1992 International Conference).

¹¹¹ cf. *Style, Language and Style, Parlance* (renamed *Language and Literature* in 1991), and *Poetics*, among others.

¹¹² Published by Routledge.

¹¹³ Steiner (1968, 1972:158) would later paraphrase: "To regard oneself as qualified in the study of literature while being totally ignorant of the changes which modern logic and linguistics have brought to our sense of language is an arrogant absurdity".

¹¹⁴ cf. the Renaissance concept of **style** as the icing on the content cake (Pearce, 1977) or the "sugar-coated" message of the text, "logic providing the substance of the cake, rhetoric, the icing, when need be" (Eknvist, 1985:15). Cf. endnote 32 in Chapter 3.

¹¹⁵ In the section on "Applied Linguistics" (topic editors: R.B. Kaplan & H.G. Widdowson) for the 1992 edition of *The International Encyclopaedia of Linguistics*, style is listed as one of the subtopics.

¹¹⁶ cf. Enkvist (1985:19-20): "If rhetoric is the art of effective communication, stylistics is the discipline that studies one specific type of language variety".

¹¹⁷ We are indebted to Mick Short, Elena Semino, and John Sinclair for suggesting modifications of earlier drafts.

¹¹⁸ cf. also Short, 1983:70.

¹¹⁹ Taylor (1980:16-7) writes: "Whereas linguistics analyses how a language is able to produce meaning, stylistics analyses how a language may be used to produce stylistic effects. The notion of "what a language is" remains the same, but the analysis of what a language can do proceeds from a different perspective entirely". Cureton, responsible for the entry on Literary Stylistics in *The International Encyclopedia of Linguistics* (ed. William Bright, NY & Oxford: Oxford University Press, 1992, p. 82) writes: "Stylistics is essentially evaluative and therefore comparative -- an assessment of the effectiveness of linguistic choice, relative to certain aesthetic intentions and within the constraints of certain expressive means".

¹²⁰ In this thesis we have designed it specifically for the tertiary level in EFLit.

¹²¹ In fact, Kress & Hodge (1979:72-77) analyse Donne's "Nocturnal upon St. Lucy's Day" as well.

¹²² Lodge (1966, 1984) attributes the role of father of the "New Stylistics" to Spitzer. However, the fact that Spitzer and Ullmann were concerned with philological investigations rather than with the nature and function of the literary text has made us refer to Jakobson instead. Taylor (1980:62) remarks that before Jakobson, "stylistics had been beset with impressionism...The Jakobsonian movement in stylistics can...be seen as reacting against this lack of scientific rigour, by making stylistics part of the already developed, fashionable, and respectable science of linguistics".

¹²³ All references to Jakobson's theory in this section were taken from Jakobson, 1960. Short (1983:83) indicates as a starting point for stylistics the publication of Fowler, 1966b.

¹²⁴ Jakobson's paper is in fact part of a continuum which had actually begun in the first decades of this century. The Russian Formalists, including Jakobson himself, had made the connection between structural linguistics and literary works in their discussion of the difference between language and literature (see Chapter 3.1.2). For a historical account, see Steiner, 1968, 1972:145ff. Steiner also points out that the Indiana Conference was intended as a summary of "40 years of work already accomplished and a mapping of future collaborative progress" (idem:146).

¹²⁵ This thesis identifies the critic with the scholar and the interpreter with the sensitive reader (see Chapter 5.2).

¹²⁶ This notion derives from Saussure's presentation of all aspects of language as based on two dimensions -- syntagmatic (horizontal) and associative (vertical) relations. According to him, each linguistic item has a horizontal relationship with the items that precede and succeed it and a vertical relation with other elements in the language that do not occur but are capable of doing so.

¹²⁷ The notion of choice between paradigmatic options is implicit in van Dijk & Kintsch (1983:17) when they state that "language users... make strategic options between alternative ways of expressing *more or less the same meaning* or *denoting the same referent*, under the controlling scope of text type and context information" (my italics).

¹²⁸ Blake, William. (1789) "Introduction" from *Songs of Innocence* in M.H. Abrams (ed.) *The Norton Anthology of English Literature*, vol. 2, NY & London: W.W. Norton & Co., 1962, 1986, pp. 30-31, ll. 17-20.

¹²⁹ This point is raised by Lodge (1977). Wellek (1971:73) criticizes Jakobson for regarding highly poems which merely played with language or which lent themselves to sound patterning without any further aesthetic value.

¹³⁰ Ideational function represents one's experience of the phenomena of the world outside and inside a person. It refers to one's knowledge of the logical connections drawn in order to make sense. The interpersonal function expresses the relations among participants, the role the person(s) perform(s). It reveals wishes, feelings, attitudes, and judgements. The textual function indicates how the two other functions are materialized, that is, by what means they are organized as relevant discourse. In agreeing with Halliday's multifunctional status of texts, Fowler (1979:8) draws a difference between Halliday's simultaneous model and Jakobson's mostly alternative six functions.

¹³¹ Butler (1984:38) criticizes Jakobson: "The method reveals linguistic structures which are in some sense "there", but it may well be then the function of the interpretive critic to choose those structures to which he can intelligibly assign a pragmatic rhetorical function". He criticizes Halliday's account (1966) of Yeats's "Leda and the Swan" and offers a contextualized interpretation instead, one in which we can understand the patterns in the light of the image of rape, among others. He argues that "the interpretive statement should tell us, not what the linguistic structure of the text is, but what it can mean within a reading... linguistic features have to be shown to serve the purposes of a rhetoric" (idem:35).

¹³² in *Romeo and Juliet* II.ii.43-4.

¹³³ in Pearce, 1977:11.

¹³⁴ Ghazalah (1987:2) distinguishes three groups: linguistic stylistics ("more descriptive"), literary stylistics ("more interpretive") and affective stylistics (Fish's reader-oriented stylistics).

¹³⁵ Pratt (1977:viii) notes that there has been a movement from intrinsic to reader-based criticism in literary studies and from "syntax-based, meaning independent linguistics to semantics-based context-dependent linguistics".

¹³⁶ Short (1992, personal communication) explains that one is actually dealing with "matters of degree and emphasis in an ongoing and very confused debate". Any issue of *Poetics* or *Language and Literature* published so far will illustrate the interdisciplinary aspect of stylistics.

¹³⁷ Enkvist (1985:26) warns that "discussions about territorial integrity will all too often degenerate into squabbles about terms rather than about substance. The most important thing is that a job gets done. Under what label it gets done is of less importance". He predicts that linguistics, rhetoric, and stylistics will eventually merge under one heading.

¹³⁸ Reprinted in 1989 and revised as an introduction to Carter & Simpson, 1989.

¹³⁹ Taylor & Toolan (1984:58ff) suggest that modern structural stylistics be divided into two main branches: objectivist and affective stylistics. The former would be subdivided into two groups: formalist and functionalist. The formalists would identify stylistic patterns and features, borrowing heavily from linguistics. The functionalists would only recognize those stylistic features which have a function. Taylor & Toolan do not seem to distinguish between linguistic and stylistic patterns. To us, the concept of stylistic pattern necessarily implies its functional role, whereas a linguistic pattern results from a description. The authors hold that affective stylistics provides the criteria functionalist approaches lack, namely, a reader-oriented stylistics. Hence, our position would evidence a blend between affective and functionalist approaches.

¹⁴⁰ Enkvist (1985:22) points out that since stylistics also deals with the situational context, it can be regarded as a subdepartment of rhetoric, or the "art of effective communication". He suggests that "those rhetorics that concentrated on elocution and perhaps disposition could in fact turn into treatises of style".

¹⁴¹ cf. the different orientations of two stylistics/reading courses: at Strathclyde (in Durant et alii, 1988) and at Lancaster (in Short & Breen, 1988a; 1988b).

¹⁴² We are indebted to John Sinclair for raising this point (personal communication, February 1993).

¹⁴³ Very few critics follow this orientation nowadays. Short (personal communication, 1992) explains his position: "I used to assume, along with anyone else, that literature was somehow distinct from the rest of language, and indeed have said so in print... But now I don't think you can distinguish literature from the rest of language in this way, either in terms of linguistic ingredients or in terms of special reading processing characteristics. Or rather, I know of no evidence yet available that leads us inexorably to the conclusion that literature is special in these ways".

¹⁴⁴ Fairclough (1989b) extends the notion of discourse to social determinants, thus coming closer to literary or ideologically-oriented stylistics (Chapter 4.3.3.4). He writes: "Discourse is socially constitutive as well as socially constituted at multiple levels of social organization" (idem:78).

¹⁴⁵ This publication is a kind of bridge going from descriptive linguistics to discourse-oriented stylistics.

¹⁴⁶ Carter (1989b:161) describes this approach as an extension of Practical Criticism. Cf. also Widdowson's (1992:10) opposition to this kind of literary stylistics.

¹⁴⁷ Tadros (1985) offers a review of seminal works on interaction.

⁴⁴ See our discussion of the difference between pattern detection and interpretation in Chapter 4.2.

⁴⁵ in Hoey, 1988:159.

¹⁴⁹ Steen (1989:55) notes that this abbreviation may be confusing, as it reminds us of English as a Second Language. Thus he refrained from using it. Short (personal communication, 1992) agrees. We use it here in the sense the German scholars do.

¹⁵⁰ Fish actually criticizes Iser for being too flexible to accommodate a variety of interpretations. In a reference to Albee's play, he writes (1989:85-86) that Iser's theory "is a marvelous machine whose very loose-jointedness makes it invulnerable to a frontal assault... It is in fact not a theory at all, but a piece of literature that satisfies Iser's own criteria for an 'aesthetic object': it is full of gaps, and the reader is invited to fill them in his own way. For that reason, no reader will ever feel threatened by the theory; no one will ever be afraid of Wolfgang Iser." Cf. also Chapter 2.6.2.

¹⁵¹ Kress & Hodge (1979:115-116) point out the relevance a community may attribute to a critic. They write: "a society's most prestigious evaluators transmit exemplary operations on a received system of (value-laden) classifications. This activity is more important than whatever is being classified. The particular poem, painting, or wine being judged is simply the material which provides the occasion of the judgment and which then becomes the symbol for a particular ideological message".

¹⁵² de Beaugrande (1988a:21) argues that there cannot be such as a model response. If the critics' interpretation were the same as everyone else's there would be no point in communicating it. He writes: "The theorist can't legitimately offer a model of how all people read a work, but only of how some people might read it".

¹⁵³ For an opposite, authoritarian, and belligerent method of teaching, see Enkvist (1964:6) who holds that students must "react to textual stimuli in the approved manner ... If we can accurately pin-point those textual features that cause stylistic responses in our chosen native informant, we may hope to add yet another weapon to our arsenal of teaching methods".

¹⁵⁴ Taylor & Toolan (1984:70) argue that the first affective stylistician is Riffaterre, although Fish may get the credits for having organized the theory. Taylor (1980:67) writes: "Riffaterre leads the functional perspective in stylistics, the perspective initiated by Bally and advanced by Jakobson, further into the domain of the psychological. This trend, affective stylistics, dominates stylistics for the next twenty years".

¹⁵⁵ Easthope (1991:48) also favours the initial Fish who does not dismiss the text completely. He notes that "Fish began in 1970 believing in literature as text and progressed by 1980 to seeing it as only what the reader saw".

¹⁵⁶ Taylor & Toolan (1984:58) also see a change of postulation. They claim that Fish moved from a descriptive position to a prescriptive stance reminiscent of classical rhetorical theory. They write: "Whereas the early Fish viewed himself as an empirical scientist, engaged in the task of describing the stylistic effects of literary texts,

today Fish unabashedly accepts the authoritarian nature of his role as stylistician and literary critic. He now takes his task not to be that of describing how people actually read certain texts but to be one of persuading them to read as he sees fit.

¹⁵⁷ after the title of Fish (1967,1971) *Surprised by Sin. The Reader in "Paradise Lost"*. Berkeley:University of California Press.

¹⁵⁸ See also Rabinowitz (1987:25): "the reader postulated by Stanley Fish's once-popular "Affective Stylistics" is psychologically blank and politically unaware, an automaton who approaches each new sentence with the same anesthetized mind".

¹⁵⁹ ESL capitalizes all the letters of the terms they consider "systems".

¹⁶⁰ In Brazil, it is (cf. filling in forms).

¹⁶¹ in "La Comparaison en linguistique structurale". *Acta Linguistica*, vol. 4 (1944; 1948) quoted by J.R. Firth (1957,1958c), p. 221.

¹⁶² cf. also the complexity of Eikmeyer's 1989 network model discussed by Stockwell (1992) which involves eight types of relationships between readers and authors. See also research carried out by Miall (1990) which led him to the conclusion that "a literary text possesses an intrinsic structure to which all readers will respond, which arises from, but is not independent of the evaluative response which the reader makes. Texts are thus neither wholly indeterminate (subject to the free-play of the language system) nor wholly determined (dependent for their significance on authorial intention or on Fish's (1980) interpretive community".

¹⁶³ In his usually provocative style, Fish (1989:77) reminds us that "the stars in a literary text are not fixed; they are just as variable as the lines that join them".

¹⁶⁴ in Shakespeare, W. *Sonnet XXXIII*, l.13.

¹⁶⁵ For a fuller account of phenomenology and of Iser's theory, see Chapter 2.6.2.

¹⁶⁶ For research on the behaviour of actual readers, see Miall (op.cit.), who investigates commonality of response based on intrinsic textual structure.

¹⁶⁷ cf. Detweiler, 1976; cf. also the entire issue of *The Yale French Studies*, 1968; see also Wittgenstein, 1958.

¹⁶⁸ García-Berrio (1989, 1992:42) remarks: "poeticity cannot be just a 'matter of words' but -- although a phenomena (*sic*) of far greater complexity -- it nevertheless begins with words".

¹⁶⁹ in Brumfit, C.J. & Carter, R.A., 1986:17

¹⁷⁰ Chomsky's main objective of finding an ideal structure which would permeate most languages led him to believe that competence was to be regarded in terms of the internalizing of this structure. Belsey (1980:33-4) explains that "competence in transformational generative grammar is a knowledge of the system of rules of the language and the rules that define linguistic competence correspond to innate structures". Fowler (1986b:174) defines Chomsky's concept: "Linguistic competence is highly abstract knowledge of syntax, phonology, and semantics which is commonly shared by all mature, fluent native speakers of a language". A different view is that of Widdowson (1984:242), for instance, who considers this kind of competence as a "submission to authority". He sees competence established according to communicative requirements and not to a norm. Widdowson suggests that students' errors are products of *bricolage*, that is, the activity of altering an established order of elements to make up new patterns of significance. For further criticism of Chomsky's notion of competence, see Halliday 1990:38 and Fish 1985:436.

¹⁷¹ Enkvist (1985:20) supports this concept. He argues that "if response to style arises from the matching of a new text against a network of standards, one must of course have access to such a network if one is to sense styles at all. Those who lack the necessary standards do not have the proper equipment for the matching process or for the ability of responding to stylistic stimuli... The acquisition of stylistic standards therefore becomes a fundamental goal in all teaching of language and literature".

¹⁷² Fowler (1986a:175) criticizes Culler. In an earlier work, Fowler (1979:6) proposes a socio-linguistic alternative to competence in opposition to "the Jakobsonian school of poetics". He writes: "The suggestion of this school that there is a unique and absolute literary competence possessed by 'the' ideal reader and operative

for any literary text is challenged by the diversity of literary forms and by the historical relativity of readings". For further criticism, see Durant & Fabb, 1987.

¹⁷³ Birch (op.cit.:138) claims that "the phantom of the structuralist linguistic opera rides again in its quest to render socially constructed realities explicit, neat, orderly, and stable".

¹ in Bakhtin, Mikhail "Introduction", *Problems of Dostoyevsky's Poetics*, ed. Caryl Emerson. Minneapolis: University of Minnesota Press, 1986, p. xiii.

¹⁷⁴ We are in line with Baker (1992:6) who, in her study on translation, writes that a "text is a meaning unit, not a form unit, but meaning is realized through form and without understanding the meanings of individual forms one cannot interpret the meaning of the text as a whole ... the individual words, phrases, and grammatical structures, control and shape the overall meaning of the text".

¹⁷⁵ Fish (1985:442) suggests that these empirical generalizations can be regarded as theory because they often serve as models for subsequent work. On the other hand, they may not constitute a theory if they are regarded as extension of a practice. In a sense, these two positions have helped characterize the distinction between stylistics as a discipline and stylistics as a technique (see Chapter 4.1).

¹⁷⁶ Carter (1988,1989b:172) has suggested that students be made aware that a same linguistic form "can function in different ways to produce different meanings according to context and according to the nature of the overlay of effects at other levels of language organization".

¹⁷⁷ cf. Ribot, M. "Le Problème de la Pensée sans Images" in *Rev. Phil.* (Juillet) 1913: "... il n'y a pas seulement des données sensorielles ou leurs représentations, mais aussi quelque chose qui n'est qu'un aspect très fractionnaire, un abstrait qui sert à comparer, il y a un *tertium quid* qui est la conscience d'un rapport objectivement ... vide de tout contenu propre".

¹⁷⁸ Riffaterre (1959:172) draws attention to **convergence** of stylistic patterns, that is, at a certain point one can notice many patterns at several levels working simultaneously.

¹⁷⁹ in Chatman, S. (1971:368).

¹⁸⁰ Torsello (1984) points out that eclecticism in language teaching has long been sanctioned.

¹⁸¹ Sinclair (1985b:17) comments that in literary texts, "patterns of language that are not remarked upon in nonliterary texts are invested with meaning in stylistics".

¹⁸² cf. also Black's (1993) study of underlexicalization in *The Inheritors*, or "the use of a restricted vocabulary and the avoidance of terms outside the experience and linguistic resources of the people" (idem: 41). Black suggests that in the novel, metaphors are "associated with a less analytical mental state" (idem:46) whereas simile requires more analytical reasoning skills.

¹⁸³ Kress & Hodge (1979) agree with Halliday's description of the function of intransitives (which they call a "non-transactive model") in Lok's language. They hold that in a language like English where there are optional structures, the use of a non-transitive model indicates an ideological bias. To illustrate their point, they analyse a passage from Bacon's *The Advancement of Learning* and conclude that the non-transactive model here reveals a scientific mind which sees science as "a large collection of particular facts about self-caused events which coexist". They conclude that "Bacon was certainly more empiricist than scientist" (idem: 42-43).

¹⁸⁴ In Kirsznner, Laurie G & Mandell, Stephen R. *Writing. A College Rhetoric*. NY: Holt. Rinehart & Winston, 1984, pp. 190-1.

¹⁸⁵ Leech & Short (1981) analyse Faulkner's use of transitivity in the opening of *The Sound and The Fury*. Fowler (1986) also investigates this aspect in the same text. Kies (1992) looks into the undercutting of agency by means of fourteen syntactic devices, including passives, intransitives, nominalization, etc. in Orwell's *Nineteen Eighty-Four*. Semino (1991) performs a quantitative contrastive analysis of V. Woolf's "Solid Objects" and D. Thomas's "The Visitor" and shows how transitivity, among other linguistic choices, conveys the effect of independence of a character's body from his will in the Thomas's passage.

¹⁸⁶ Ventola (1987:106) uses the term "suspending moves" in her analysis of service encounters. She indicates four types of suspending phenomena: to give confirmation, to backchannel, to request confirmation, and to check. Therefore, our use of the term differs from Ventola's.

¹⁸⁷ cf. Leech (1985:49) for suspension produced by enjambment.

¹⁸⁸ She also points out that C.S. Peirce is incorrectly considered the originator of the notion of vagueness in language. Channell (1985) quotes Peirce (1902): "A proposition is vague where there are possible states of things concerning which it is intrinsically uncertain whether, had they been contemplated by the speaker, he would have regarded them as excluded or allowed by the proposition. By intrinsically uncertain we mean not uncertain in consequence of any ignorance of the interpreter, but because the speaker's habits of language were indeterminate; so that one day he would regard the proposition as excluding, another as admitting those states of things".

¹⁸⁹ According to Channell (personal communication, February 1993) the expression *or something* only occurs in literary corpus and in inverted comma (cf. the Cobuild Corpus).

¹⁹⁰ in the Gricean sense (cf. Grice, H.P. "Logic and Conversation" in Cole, P. & Morgan, J.L. (eds.) *Syntax and Semantics*. NY: Academic Press, 1967).

¹⁹¹ Kress & Hodge (1979:127) point out that "the major content of an utterance is often to be found in the modal operations, rather than in the ostensible content". They add that "there are a large number of ways of realizing modality: non-verbal and verbal, through non-deliberate features (hesitations, *ums*, *ers*, etc.) and deliberate systematic features, which include fillers (*sort of*), adverbs (*probably*, *quite*, *better*), modal auxiliaries (*can*, *must*), mental-process verbs (*think*, *understand*, *feel*), and intonation..." They hold that "the speaker translates uncertainty about the status in the power situation into uncertainties about the status of his utterances. We see vividly in this instance the relationship between power and knowledge, or claims to knowledge and claims to power. A speaker uses modalities to protect his utterances from criticism..."

¹⁹² "... one need not throw up one's hands in despair when faced by the problems of vagueness and fuzziness. Fuzziness can be studied seriously within formal semantics, and when such a serious approach is taken, all sorts of interesting questions arise. For me, some of the most interesting questions are raised by the study of words whose meaning implicitly involves fuzziness -- words whose job is to make things fuzzier or less fuzzy -- I will refer to such words as "hedges" (Lakoff, 1975:234).

¹⁹³ Fowler (1979:15) shows how modality can be expressed in a wide range of forms.

¹⁹⁴ in Miller, J.E. Jr. et alii. *England in Literature*. Glenview, Illinois: Scott Foresman & Co., 1976, pp. 329 and 133.

¹⁹⁵ cf. Torsello (1984, 1990:145) for a survey of the literature on repetition.

¹⁹⁶ Becker (1979:213) notes: "each repetition of a text (or bit of a text) is in a new context and takes new meaning from its context. Cf. also the irony Jorge Luis Borges obtains with repetition in "Pierre Menard" (in *Fictions*, ed. and with an introd. by Anthony Kerrigan, transl. by Alistair Reid & others. London: John Calder, 1965).

¹⁹⁷ Gilbert, Stuart, *James Joyce's Ulysses*. Harmondsworth, Middlesex: Penguin Books Ltd., 1930, 1969, p. 34.

¹⁹⁸ cf. Lodge's (1992:89-94) discussion of repetition in a passage by Hemingway.

¹⁹⁹ For another analysis of lexical sets, see Verdonk, 1986:46-53. See also Fowler, 1986b:77-80.

²⁰⁰ For a word frequency list of Blake's "London", see Louw 1991:167. For a comparison between Blake's "London" and Wordsworth's "Composed upon Westminster Bridge", see Gibbons, 1979:114ff.

²⁰¹ Technology has been changing the possibilities of creation. Now the concept of a three-dimensional, shifting poem, with voice inclusion is already a reality. However, for the purposes of this thesis, we shall only consider what can possibly be presented to students in our situation.

²⁰² van Peer (1993:50) calls this phenomenon "typographic foregrounding". He defines *typography* as "the graphological representation of language on paper (or any other information carrier) and its concrete arrangement (typeface, paragraph arrangement, type size, etc.)". His proposition differs from ours in the sense that he accepts that in some poems there is not a strong relation between form and meaning. He sees form as deviation from expected norms, but not as an imperative for meaning making. van Peer does concede, however, that value is attributed to those poems in which there is a "fine tuning of ... its typographic qualities, and ... the semantic/thematic structure of the text" (idem:58). The poem which van Peer uses to indicate verbal and thematic symmetry is Herbert's "Easter Wings" (see Appendix I, Unit 6).

²⁰³ "Semiotics" is preferred by Anglo-Americans. Continental Europeans prefer "Semiology" (Hawkes, 1977, 1986)

²⁰⁴ Nor will we discuss the later developments in the works of Barthes, Derrida, or Kristeva.

²⁰⁵ Berger (1972) discusses the cultural impact of publicity on consumers. According to him, advertisements count on consumers' envy to offer an alternative image of the consumers themselves.

²⁰⁶ see Appendix I, Unit 6.

²⁰⁷ van Peer (1993:51) notes that very little attention has been given to the relevance of typographical devices in stylistics.

²⁰⁸ See Fowler (1971:85) for a reference to this aspect.

²⁰⁹ Deleuze (1969, 1974:70) distinguishes between absurd and nonsense. He points out that the former denies meaning whereas the latter offers a series of possibilities.

²¹⁰ Lecercle acknowledges the influence of both Lacan and Deleuze in his writings. He sees three degrees of madness: 1. **unreflexive delirium**, or the repetitive and unimaginative discourse of paranoiacs; 2. **reflexive**

delirium, or *délire*, created by talented patients who write down their experience and devote their time to argument and what they take to be science; 3. **obsession**, or a scientist's *idée fixe* (Lecerclé, 1985:3). His theory of the remainder works with *délire* (Lecerclé, 1990).

²¹¹ Examples taken from Leech, Geoffrey & Svartvik, Ian. *A Communicative Grammar of English*, London: Longman Group Ltd., 1975.

²¹² This term was coined and identified by Swiss linguist Charles Bally in 1912. For further discussions on the Swiss and German origins, see Pascal (1977:8). Câmara (1962) remarks that FIS is not an invention of the realist novel of Zola or Flaubert. It can be found in some verses of the 16th century Portuguese epic *Os Lusíadas*. Câmara (op. cit.) also analyses the use of FIS in the works of 19th century Brazilian novelist Machado de Assis.

²¹³ Toolan (1988:119) also prefers the phrase *Free Indirect Discourse*. The acronym *FID* was used by Hall (1989) in his arguments against formalist communication models and in favour of a Bakhtinian interpretation of literary texts.

²¹⁴ Polyphonic representation was introduced by Bakhtin in his study of Dostoyevsky's novels (cf. *The Dialogic Imagination*). Lodge (1988:136) explains this concept as "... the way in which the Russian novelist allowed different characters to articulate different ideological positions in a text without subordinating them to his own authorial speech".

²¹⁵ The following examples were taken from V. Woolf's *Mrs. Dalloway*, London: The Hogarth Press, 1925, 1963, pp. 18, 19, 24, and 143 respectively.

²¹⁶ cf. Hoey (1988:141): "Matching relations occur when two or more statements or groups of statements are considered in terms of what they do (or do not) share. In matching, what is important is how each statement casts light on the other".

²¹⁷ cf. Ventola, 1987:62 quoting a report from one of *The Guardian's* January 1986 issue: "Readers must admit that in a Western culture the FIELD choice of 'rat' as an ingredient in a recipe does not seem appropriate. However, 'according to a traditional Guangxi recipe (China), the rats are steamed, then soaked in brine, ginger, and pepper for a few hours, then pressed into a steak. After a few days' airing, the rat is cooked on top of a mixture of rice, bran, and sesame oil until the aroma of the meat permeates the whole kitchen".

²¹⁸ Vintage Books Edition. NY:Random House (1971), 1981.

²¹⁹ dated 1729; in Abrams, M.H. et alii., *The Norton Anthology of English Literature, vol.I:* 2144-2151, NY & London: W.W. Norton & Co., 1979.

²²⁰ cf. *The Everyman's Book of Nonsense Poetry*, ed. J. Davies, London: J.M.Dent & Sons, 1981.

²²¹ We are indebted to Prof. John Sinclair for providing information on the origins of this song. The original words were written by G.J. Whyte-Melville (1821-78). An Australian variation was found in *Folk Songs of Australia*, ed. John Meredith & Hugh Anderson, 1967, where we can read: "The first printed appearance of *The Dying Stockman* was in *The Portland Mirror* (8th July 1885), where it was signed C.A.F. Apparently it was written one night at Gatton, Queensland, by Horace Flower and his friend Walton Kent, as a parody of the popular English song, *The Tarpaulin Jacket*.

²²² in Marcel, C. (1853, I:ix).

²²³ Watson (1981, 1987) writes: "The theories of Rosenblatt and other reader-response critics such as Iser can be seen as providing strong theoretical underpinning for imaginative re-creation as a way of bringing to the fore the reader's active role in constructing the meaning of a text ... Reader-response or reception theory has been one of the important forces that have shifted the teaching of literature away from the Leavisite model towards a model concerned with the nature of the reader's experience as he or she creates the literary text while reading. Elliott (1990) suggests the use of role play as a strategy for developing student response

²²⁴ It is common to find arguments which dissociate personal reaction from informed response. For instance, Muyskens writes (1983:417): "They think that the student must have a personal encounter with the text and they, therefore, deemphasize the study of literature as an introduction to the tools of criticism". This thesis sustains that personal reaction does not exclude informed response (see Chapter 2.5).

²²⁵ See Evans (1987) for the close links between Iser's and Rosenblatt's theories.

²²⁶ Here we follow the notion that "literature is creative use of language" (Fowler, 1986:13).

²²⁷ Fowler (1971:99) writes that "poems and novels are linguistic universes in which the fictional orderings of experience can be traced in diverse manipulations of language".

²²⁸ On a scholarship from the British Council.

²²⁹ Sinclair (1982b) describes a course on similar principles. However, we believe such a course would be too difficult for our EFLit students. Crystal (1981:155) poses a very relevant question which our Pilot Project set out to answer: "how much of [a complete stylistic] analysis the student will need to know?" He adds (idem, ibidem): "It is this question which a field which might one day be called 'applied stylistics' might begin to investigate".

²³⁰ This report followed the recommendations of the Kingman Report (DES,1989).

²³¹ This cognitive aspect follows the orientation of the Strathclyde Programme of Literary Linguistics. Durant & Fabb note (1987:229) that "...courses need to include a well-integrated pragmatic and cognitive dimension, relating linguistic forms to interactional and contextual factors, including background assumptions which in practice largely guide interpretation".

²³² At the core of this principle lies Rosenblatt's (1938;1983) theory of literature as personal experience (cf. Chapter 7.1.4.1).

²³³ We are aware that lexical difficulty may not be a determining factor for textual difficulty. A very simple text on the lexical level may be extremely complex on the discoursal level or in terms of its allusions (eg. Plath's "The Arrival of the Bee-Box" in Unit 1, or Hughes' poem "Instant Fish").

²³⁴ Non-literary texts take this linguistic mediation for granted. We hold that the difference between literary and non-literary texts does not lie in textual property but in textual use.

²³⁵ For a more complete argument in favour of incorporating non-canonical texts into EFLit teaching, see Palmer, 1992.

²³⁶ We agree with LaCapra 1983:48 that a "dialogical approach" to texts is preferred, the objective of which is "to stimulate the reader to respond critically to the interpretation it [the text] offers through his or her own reading or rereading of the primary texts" (idem, ibidem).

²³⁷ in the Oxford University Press *Alpha Classics* series.

²³⁸ Units 1 and 12 had different purposes. See Chapter 6.1.

²³⁹ quoted by Candlin, C. in Short, 1988.

²⁴⁰ The units referred are the ones in Appendix I.

²⁴¹ For a description of the final written test and the type of pattern to be perceived, see Chapter 7.2.4.2.

²⁴² This was a course of fifteen classes. One full class was programmed for the first meeting, another for the final examination. Moreover, seventeen extra hours had to be arranged for the interviews and we had to count on the students' good will.

²⁴³ Students' work has been reproduced here without any editing. Wherever necessary I provide a translation into English.

²⁴⁴ One student wrote: "In general, I read in a naive way. I only worry about analysing a text when I have to work on it. Lately, however, I have noticed that I have been analysing what I read even unintentionally".

²⁴⁵ in *Tom Jones*. Part II, Book XVIII, Chapter 1.

²⁴⁶ Selden (1988:51) argues for the convergence of interest between literary criticism and linguistics (especially stylistics) in the sense that "both recognise that theory and method are necessary.

²⁴⁷ Crystal (1981:148-9) is against determining boundaries. He writes: "On this topic, we are very much working in the dark; we are trying to solve a theoretical issue without having any clear idea as to the nature or extent of the problem in the primary data which the theory is supposed to be accounting for. For historical and methodological reasons, three "branches" of study have developed -- stylistics, sociolinguistics, and dialectology (this last could of course be extended). But the existence of these branches does not mean to say that the data, when we have analysed it, will best be accounted for in terms of a model which recognizes these distinctions. We shall have to see. And meanwhile, it seems useless to go into questions of boundary definition".

²⁴⁸ Personal communication (February, 1993).

²⁴⁹ Cook (1992:146) points out that in order to find out rules governing connectivity in discourse many factors must be taken into account such as the shared situational, cultural, and world knowledge of participants. He adds: "The resultant proliferation of variables has led some linguists to the hasty conclusion that there are no rules above the sentence, while others have attempted to extend to discourse the kind of rules which apply within sentences, but are quite alien to the open, context-dependent and indeterminate nature of discourse".

²⁵⁰ See how they acknowledge the limitations of their work on pages 8-10.

²⁵¹ We agree with Gibbons (1979:114) that the distinctive features of a passage which are to be commented on, and the order in which this will occur "should always be determined by the passage itself, and by what the student decides are the most important things about it".

²⁵² Carter & Long (1991:123) point out that "stylistic analysis can assist awareness of language use, can heighten sensitivity to literary styles and purposes and foster confidence in reading and interpreting texts. If students are regularly encouraged to explore equations between linguistic forms and meanings, then they are becoming more effective and accurate readers".

²⁵³ Carter (1981) shows how the breaching of Gricean maxims is not enough to explain irony -- that is, pragmatics does not give the complete answer. According to him, irony has an intentional aspect but it is produced in many different ways by the manipulation of different features of the language system. Louw (in Baker et alii, 1993:157) demonstrates how semantic prosodies make certain forms of irony possible. Although both authors were looking into its linguistic realization, we believe they would agree that irony cannot be obtained nor explained only by means of textual elements.

²⁵⁴ Abridged and published in its Portuguese version in *Anais do IV Encontro da ANPOLL*. Recife: ANPOLL, pp. 157-160.

²⁵⁵ In a letter sent to me by Ian Campbell on April 7, 1990. Campbell adds: "Your paper was a very welcome surprise and came as a real pleasure; thank you for it from me, and also now from students who are beginning to enjoy seeing their literature through your perceptions, for I am taking the liberty of sharing its insights with our more advanced students".

²⁵⁶ In any case, the native speaker, as Paikeday (1985) puts it, is dead. It is an abstraction constructed by linguists and does not have any real correlate.

²⁵⁷ See the use of familiar ideological assumptions in advertisements in Berger (1972) and in Belsey (op.cit.:47-52).

²⁵⁸ For example, a very interesting discussion on this issue was carried out after two students wrote the following poem about a toilet bowl:

Ode
O my toilet bowl!
Many times to you I go
Sometimes in silence
Sometimes I -- Oh!
O my toilet bowl!

Analysis: We thought about something to which nobody would ever write an ode -- a toilet bowl. We tried to make a funny situation... Once more, we tried hardly to make words rhyme.

²⁵⁹ Short (1986) discusses this issue.

²⁶⁰ Duff & Maley (1990, 1992:3) write: "In the last five years or so there has been a remarkable revival of interest in literature as one of the resources available for language learning. This book is an attempt to explore further the use of literary texts as a language teaching resource rather than as an object of literary study as such. For, if indeed literature is back, it is back wearing different clothing".

²⁶¹ This phrase was used by John Keats in his letter to George and Thomas Keats (Dec. 21 (27?), 1817, where he writes: "I mean Negative Capability, that is when man is capable of being in uncertainties, Mysteries, doubts, without any irritable searching after fact and reason". Students are not usually trained to endure uncertainties or polysemic situations (see Schmidt, 1982:88).

²⁶² We are indebted to John Sinclair for having raised this point.

²⁶³ The re-run of the Pilot Project (August/December 1992) produced the following results:

No. patterns perceived	Text 1	Text 2	Total no. students
0	2	3	5
1	12	2	14
2	2	6	8
3	0	5	5
Total no. students	16	16	32

Table 7.3a. Number of patterns perceived per text

Text 1 - "Eveline"

Type of pattern	No. of students that perceived each pattern
1. Time/Tense contrast	14
2. Perspective/FID	2
3. Lexical cohesion	0
Total no. patterns/maximum possible no.	16/48
Total no. students that took this test	16

Text 2 - "Tickets, please"

Type of pattern	No. of students that perceived each pattern
1. Suspension by subordination	8
2. Personification/Transitivity	11
3. Lexical cohesion	8
Total no. patterns/maximum possible no.	27/48
Total no. students that took this test:	16

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Grade:

- A .
- B .
- C .
- D .

Total:

Number of students enrolled:
Dropouts:

38

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Table 7.7a. Final results

²⁶⁴ It is often heard in many faculty lounges that students are ill-prepared, that they lack a sense of the past, that they lack linguistic and literary competence, that they cannot understand classical or mythological references, that they do not formulate relevant questions and cannot read between the lines (see Graff, 1990). We have decided not to blame the students for all our problems. Students are as much the product of a system as are their teachers. Instead of complaining, feeling overwhelmed or impotent, we believe the teacher should seek new objectives and experiment new and more effective routes into literature.

²⁶⁵ A colleague at UFRJ has been teaching the course since 1993 to verify how the programme works when conducted by another teacher.