A Study of Contemporary Models of Stylistic Analysis, Literary and Linguistic, and Their Pedagogic Relevance

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Abstract of Thesis

The primary assumption underlying this work is that if linguistics can be infused into literary studies it cannot be done so on a priori basis. That literature is language is an obvious but complicated proposition. In order to avoid arguing from a priori grounds, the origins and development of the two disciplines in mutual isolation till the 1950s are traced in Chapter I. An attempt is made to show how most attempts at rapprochement between linguistics and literary criticism are hindered, not only by mutual distrust and exclusiveness, but also by a lack of a common area where the two could profitably meet and evaluate each other's contribution. The teaching of English literature in a non-native context is suggested as one such programmatic area where the two disciplines can converge to solve practical problems. The work, thus, consists of three parts: 1. the literary, 2. the linguistic, and 3. the pedagogical--the last one as a synthesis of the first two.

The basic framework adopted in this study is the notion of "degrees of language". Adopting Hjelmslev's notion of first-degree metalanguage and second-degree metalanguage as an observational framework, in the first part of this study (Chapters II & III) some specimens of literary criticism are scrutinized and evaluated as a metalanguage. In Chapter II theory of criticism is discussed as a second-degree metalanguage and in Chapter III literary criticism as practice is examined as a first-degree metalanguage. Because of their professed interest in the verbal organization of literary texts the works of I.A. Richards and William Empson are examined as

specimens of literary theory. Some works of English critics--all of them on the poetry of Shelley--are examined as specimens of literary criticism in practice. The purpose of Part I is to examine how the literary critics use an intuitive metalanguage habitually without considering what underlying presuppositions and choices are implied by the terms they use. The theory of literary criticism itself is a highly derivative and heterogeneous set of concepts, criteria and procedures.

From the examination of literary-critical theory and practice the work takes a lead to consider the linguistic approaches to the concept of style and to the models of stylistic analysis, which forms Part II of the work. Chapter IV examines the place of the concept of style in modern linguistics. The central part of the study is an examination of contemporary linguistic models of style analysis (Chapters V, VI, and VII). Three sets of models are evaluated as sources of potential notions and procedures--the structuralist models, the Neo-Firthian models, and the Transformational-Generative models. In each case these models have been inspired by an explicit theory of linguistic description to which the model refers as the second-degree metalanguage. A number of representative analyses are discussed so that the basic concepts, components and procedures of stylistic analysis are revealed in practice.

The third part of the work considers the teaching of English literature in a non-native situation as a trial area for a programme of synthesis between the literary and the linguistic models of style analysis. As the need for

explicitness in the metalanguage of literary analysis is very important in the non-native context, the programme serves as an evaluation measure for the models of style analysis and it may help formulate some explicit goals for them. On the basis of an interpenetration of the notions and approaches drawn from the literary and the linguistic models an approach to the teaching of literature is proposed. An outline syllabus, with some sample analyses and teaching materials, is included in Chapter VIII.

The conclusion (Chapter IX) provides a summary of the arguments for abandoning an attitude of exclusiveness on the part of the literary critic and an equally counter-productive attitude of the linguist towards literary materials. As a substitute for mutual distrust and prejudice, the work proposes the teaching of literature as an area where the two could meet profitably and set up mutually acceptable goals to solve practical teaching problems.

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PART I

Literary Models

Chapter I

Introduction

1.0. Introduction

1.0.1 The original stimulus for working on the area of stylistics came from two different sources: the personal interest in the language of literature, and the professional needs and problems of an English teacher. Although, in those days, one articulated one's amateur interest in the language of literature in terms of image, metaphor, symbol, wit, irony, paradox, and other metalinguistic notions of literary criticism, rather than in terms of grammatical, lexical or semantic models of analysis, the interest may be said to have been there. In fact, this might be one of the reasons why the gap between 'practical criticism' and stylistic analysis does not appear to be an insuperable one. In terms of some of their procedures and assumptions, the gap appears encouragingly narrow. In the last half-century students of literature have, for some reason or other, always found it necessary to break into widely divergent disciplines, no matter whether these are contiguous or not, in search of insights and/or methods of literary analysis and interpretation. Since the beginning of the twentieth-century the students of literature have been going to virtually every conceivable area of human enquiry--from statistics, psychology, semantics and sociology to anthropology. Some have brought back different methods of interpretation, procedures of analysis and critical insight to the study of literature. The proximity of linguistically-oriented stylistics to literary analysis has been recognized from the outset. Yet most arguments for cross-fertilization have been *a priori* ones. Linguistics, so goes the argument, is a scientific study of language;

literature is language and therefore linguistics has a legitimate place in literary studies. But "literature is language" is a complicated proposition. The obviousness of the case is apparent; the difficulties of working it out in detail are numerous. Some efforts have been made to explore the possibilities, but these have been done only on an extremely limited and programmatic scale. The primary stimulus for taking up this work has come from the awareness of the possibilities of investigating the scope for such a rapprochement between stylistics and literary criticism. In terms of the professional problems and needs, a much more important stimulus came from my interest in the language of literature, not as a student, but as a teacher who faces a mass of heterogeneous problems relating to the teaching of English literature in a foreign language situation. From the personal point of view this work is an attempt to reconcile the claims of the two roles and interests.

1.0.2 Needless to say, the structure of this thesis is influenced by the types of stimulus which motivated it. It is divided into three major parts: the literary, the linguistic and the pedagogical. In both the literary and the linguistic parts of the thesis there is a further subdivision into the theory and the practice, into what we would be describing in Chapter II as the second-degree metalanguage and the first-degree metalanguage. It is assumed that in approaching both the literary and the linguistic models of stylistic analysis the primary requisite is to assess their explicitness as models and as tools of analysis, i.e., as metalanguage. This is attempted at two separate levels--at

the level of theory (as a source of primary units of meta-linguistic concepts and notions) and at the level of practice (as attempts to put these notions in action by analyzing actual pieces of literary texts). In the first part of the thesis the literary models are examined, because it is their procedural inexplicitness and their reliance upon intuitive metalanguage that forms the starting point for the second part of the thesis, i.e., the linguistic models. In approaching the literary models attention is deliberately focussed on those critics (such as I.A. Richards, William Empson, T.S. Eliot and F.R. Leavis) who approach literary texts through their verbal organization, who at least profess that poetry is made of words, not of ideas. Since literary criticism of different species sustain the teaching of English literature overseas, an initial connection between the teaching of literature and literary criticism is established. In the second part of the thesis a close scrutiny and evaluation of the linguistic approaches to the concept of style and literary language is taken up as a prelude to the actual models of stylistic analysis inspired by different schools of linguistics. The linguistic models of style-analysis are studied in three major groups--the structuralist, the scale-and-category, and the transformational-generative models. Once the linguistic models are scrutinized and evaluated we are in a position to assess a number of potentially valuable notions and procedures which, when synthesized with all that is workable in the literary models, would be of value for the teaching of literature. The third and final part of the thesis is, thus,

presented as a trial area where the success or failure of the plea for the synthesis of linguistics and literary studies, of stylistics and literary criticism, can be demonstrably measured. The teaching of literature serves as one area for forging what Strevens calls "the triple bond" between linguistics, literary studies and the teaching of literature.[1]

1.0.3 The teaching of literature in a non-native situation is adopted as both a problem area and a trial area because of the practical challenges on the one hand and the possibility of defining explicitly the goals and requirements of models of stylistic analysis for solving these practical problems. This eliminates the chances of subjective preferences in assessing the models--literary as well as linguistic. The practical problems are discussed in some detail in the final part of the work. However, it may not be out of place here to anticipate at least one problem which concerns the teaching of literature, and the literary and linguistic analyses of style alike. The problem may, figuratively, be described as one of conversion. Traditionally, the teacher of literature has been looking up to the literary critic for his enlightenment. This is natural because the teacher of literature draws nearly all his ideas, concepts, and approaches from the literary critic. With the arrival of more linguistically-sophisticated methods of language teaching, this traditional alliance between the teacher of literature and the critic of literature has been partly

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1 Peter Strevens. "The Study of the Present-day English Language: A Triple Bond Between Disciplines." Leeds: University Press, 1963.

disturbed. As will be obvious from the following sections of this chapter, their public relations are far from satisfactory. The linguistically-oriented student of style may be able to improve his public relations, not just by negative response, but by producing positive proof that his ideas do, in practice, work. As Corder points out, the point which the more proselytizing applied linguist tends to overlook is the fact that what is theoretically valid may have little pedagogic utility and what has pedagogic utility may have little or no theoretical value.[1] What is needed for the teaching of literature is not a set of powerful theories of language and style, but a set of workable and practical teaching principles, programmes and materials. Therefore, in the third part of the present work an attempt is made to define some of the problems of the teaching of literature as precisely as possible with reference to an actual teaching situation rather than to hypothetical ones. By way of a synthesis of the literary, the linguistic and the pedagogical aspects of the work, an approach to the teaching of literature is formulated with regard to what might be the principles, strategy and programmes.

1.1. Literary Criticism, Linguistics and Literary Stylistics

1.1.1 In the last decade or two a great deal has been written on the possibility as well as the need of infusing linguistics into literary studies. However, until recent years most of the arguments for the linguistic infusion have

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1 S.P. Corder and E. Roulet, eds. Theoretical Linguistic Models in Applied Linguistics (Brussels: AIMAV, 1973).

been a priori ones, i.e., linguistics is concerned with the study of language; literature is language and therefore linguistics has a legitimate place in literary studies--more legitimate than, say, anthropology or psycho-analysis has. In these a priori arguments, it did not seem to matter how this infusion should take place. Nor did it seem important to determine at which point of literary studies this infusion could take place: at the level of theory, description, interpretation, evaluation or at the level of pedagogy. That the ambiguity in this connection is not merely apparent but also real, will be clear as we go on to discuss various models of stylistic analysis. In order for the infusion argument to be convincing as well as practicable what is needed is a close scrutiny of literary criticism and linguistically-based stylistics in terms of their metalinguistic notions and functions and the working procedures based on these notions and functions. Initially, what one cannot help pointing out is the total lack of inter-disciplinary contact and dialogue between these disciplines in the past half century. The growth of modern linguistics and of modern literary criticism in the English-speaking world in mutual isolation till the 1950s is one of the curious intellectual phenomena of the century. In spite of the fact that both linguistics and literary criticism describe and study a common phenomenon--common at least in so far as it is language--the two have had hardly any contact till the late 1950s. This is curious also because both grew into mature disciplines by reacting against a common tendency, i.e., historical and scholarly studies in language and literature. At least in one respect, both post-

Saussure modern linguistics and post-Richards modern literary criticism are a reaction against the same historical-scholarly 19th century tradition. In the case of modern linguistics, with structural and descriptive bias, the reaction was against historical philology which had its consummation in the comparative and historical grammars of the Indo-Europeanists in the 19th century. Philology was primarily based on written texts. Modern linguistics relegated all written texts to the background when it asserted the primacy of speech. The linguist's bias against written texts is one of several important reasons which are responsible for the neglect of literature by modern linguists till the 1950s. The rise of modern linguistics chronologically coincides with the rise of modern literary criticism. If the former can be traced back to the publication of Saussure's Cours de Lingistique Générale (1916) in Europe and Sapir's Language (1921) and Bloomfield's Language (1933) in America, the rise of modern literary criticism in English can be traced back to almost contemporary works of Richards--Principles of Literary Criticism (1924) and Practical Criticism (1929), and Empson's Seven Types of Ambiguity (1930). Modern literary criticism of the verbal analysis school, too, may be said to be "structuralist" and descriptive in bias in so far as it takes the corpus of a literary text (i.e., the text of a lyric, a story or whatever) as the final evidence of value. It takes the actual data--the poem on the page--as the only object of study. Here the literary critic too is reacting against the historical-scholarly studies of the 19th or early 20th century tradition. At least in this respect the two disciplines have been running parallel. Yet

'practical' criticism and 'structural' linguistics have not yet found a common ground to meet.

1.1.2 Literary criticism and linguistics have grown in mutual isolation. There has been no cross-fertilization and interpenetration. In fact, till the late 1950s there was not even any gesture of rapprochement from either field. This is odd, not only because both are concerned with some species of language-phenomenon, but also or mainly because the literary scholars and critics have, in the past fifty or sixty years, gone nearly everywhere---from psychoanalysis, political science, epistemology, sociology to anthropology---in search of methods of analysis, and insights into the nature of literary experience. The literary-critical works which came into prominence after the 1930s (such as those of Richards and Empson) under the influence of positivist philosophy and semantics, or the language-oriented studies of diction, syntax, imagery or symbolism which dominated literary criticism in the 1940s and early 1950s seem to owe remarkably little to structural linguistics of the European, American or the British models. Prima facie, linguistics, the parent science of language, should have been a source of insights and procedures in literary analyses, but the literary scholar has rarely been drawn towards linguistics while the linguist is himself satisfied in confining his attention to what Enkvist calls "the shallow end of the linguistic pool"[1]---the phonemes, the morphemes, the clauses and the sentences. Not that

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1 N. Erik Enkvist, "On the Place of Style in Some Linguistic Theories," in Literary Style: A Symposium, ed., S. Chatman (London: OUP, 1971), p. 50.

linguistics has not provided a lead in other fields. Anthropology, for instance, had made a fruitful use of the methodology of structural analysis (such as the notions of syntagms and paradigms) in the analysis of society and culture. Lévi-Strauss is an obvious example because he provides a link between anthropology, linguistics and literary analysis. It seems the literary scholars would not take all the blame, particularly of being dogmatic, conservative or insular, because they have, as we mentioned earlier, always been willing to go outside of the theory of literature or poetics in search of insights and methods. Modern literary criticism would have been inconceivable without their interest in non-literary fields. Richards, the founding father of modern literary criticism, is himself much more of an interdisciplinary psychologist and positivist-semanticist than a literary critic pure and simple. The characteristic attitude of the linguist towards literature, on the other hand, is represented by Bloomfield who wrote in Language:

> the linguist... ... studies the language of all persons alike; the individual features in which the language of a great writer differs from the ordinary speech of his time and place interest the linguist no more than the individual features of any other person's speech, and much less than the features that are common to all speakers.[1]

One consequence of this egalitarian attitude is that the linguist ignored literature as something peripheral to the field of his study. This in turn led the literary scholars to believe that the linguist is a philistine.

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1 L. Bloomfield, Language (London: 1935), pp. 21-22.

1.1.3 The linguist's side of the story, with the exception of the Prague School, is one of consistent indifference for nearly half a century. In the English-speaking countries the earliest attempts on the part of the linguist to take note of literature were Hill's early experiments in "structural method" (see Chapter VI) and the contributions to metrics in the Kenyon Review Symposium of 1956. A major breakthrough is made at the Interdisciplinary Conference on Style in Language at Indiana in Spring 1958. Although formal enquiry into the nature of style in language goes back to the time of Bally and the Prague School, "stylistics" as a field of formal enquiry, in relation to English at any rate, may be said to have originated about this time: the time when the linguists and the literary scholars started to get together under a common roof. However, there are several factors which have worked as "irritants" in the rapproachement between the linguists and the literary scholars. Because of these irritants what should have been a dialogue ends as a diatribe. To some extent the linguists are responsible for their bad public relations. For one thing, in the past their claims tended to be immodest and extravagant. In the eyes of the literary scholars, compared with their own past achievements in literary analysis, the linguist's achievements in literary analysis are negligible---mostly fragmentary and programmatic. Measured in terms of the standards set by the traditional literary scholarship, the achievements of the linguistically-oriented studies of literature, particularly in terms of insights or methods or both, might appear somewhat fugitive. In the early days what annoyed the

literary critic was the linguist's ambiguous and extravagant claim such as:

> as no science can go beyond mathematics, no criticism can go beyond its linguistics.[1]

Some linguists asserted that

> It is the right and duty of linguistics to direct the investigation of verbal art in all its compass and extent.[2]

The extravagance as well as the ambiguity is revealed when we juxtapose the above claims with the more recent and mild claims made by a British exponent of linguistically-informed kind of literary criticism. Fowler suggests that

> It would be surprising if knowledge of language in general did not enhance understanding of specific instances of language use. There is thus a powerful a priori argument for critics and students knowing about language--by knowing some general linguistics.[3]

A little later Fowler hastens to add

> And of course the assertion is behaviourally untrue also; most of the most respected critics haven't a clue about linguistics.[4]

The literary critic's reaction to the theoretical claims of the linguist deserves a hearing. Here are three literary critics reacting to the theoretical claims of the linguist. The paradox is that each of the three critics is an exponent of language-based analysis of literary texts:

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1 Harold Whitehall, "From Linguistics to Criticism," Kenyon Review, XIII, (Autumn 1951), p. 713.

2 Roman Jakobson, quoted by George Steiner in "Linguistics and Literature," in Linguistics at Large, ed., Noel Minnis (London: Gollancz, 1971), p. 133 in Paladin paperback ed.

3 Roger Fowler, The Languages of Literature (London: Routledge, 1971), p. 11.

4 Roger Fowler, Ibid., p. 10.

1. Language, in the full sense, in the full concrete reality.. ... eludes the cognizance of any form of linguistic science.[1]

F.R. Leavis

2. My real quarrel with Mr. Fowler--or rather with the cause for which he is pleading---is that he is presenting the study of language as a necessary concomitant to the study of literature.[2]

F.W. Bateson

3. Stylistics can never become a fully comprehensive method of literary criticism.[3]

David Lodge

Thus the critics state their case against the theoretical claims of the linguists in no uncertain terms. This gives the impression that the linguists are themselves not sure what they want the literary critics to do with the knowledge of linguistics. Of course, the linguist is not planning to stage a coup d' état to take over from the literary critic. As Halliday puts it so neatly,

> Linguistics is not and will never be the whole of literary analysis and only the literary analyst--not the linguist--can determine the place of linguistics in literary studies.[4]

But what is the place of linguistics in literary analysis in practice?

1.1.4 In some sense, the literary critic's reaction to the practice of the linguistically-informed kind of criticism is much more outspoken. To cite an example,

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1 F.R. Leavis, "Literature and the University: The Wrong Question," in English Literature in our Time and the University (London: 1969), p. 49.

2 F.W. Bateson, "Literature and Linguistics," in The Languages of Literature, ed. Fowler, p. 62.

3 David Lodge, Language of Fiction (London: Routledge, 1966), p. 56.

4 M.A.K. Halliday, "Descriptive Linguistics in Literary Studies," in Patterns of Language (London: Longmans, 1966), p. 67.

> Looking at a patient account of a story in Joyce's **Dubliners, with all the clumsy machinery of kernels,** indices, catalysts and so forth, or at a model which **isolates the narremes (indispensable narrative con-**stituents) of a medieval epic, how can one resist the **intuition that this adds nothing, enhances no reading,** merely provides a cumbersome way of explaining what **we all do, in the act of normal reading, with un-**conscious felicity?[1]

This is only one of several types of reaction to the work on stylistics published in recent years. But it does bring out what makes the literary critic somewhat hostile to linguistics in general and to stylistics in particular. Kermode's main criticism is that the linguistically-informed analyses of literature have nothing to offer--that is to say, nothing in terms of insights and methods, and in this kind of approach the method takes over the subject, and the take-over is on the whole a cumbersome affair. Although from Whitehall to Fowler all the linguists interested in literature have pointed out that "criticism in English ought to have a hunger for a sound linguistics,"[2] the outcome of the fulfilled "hunger for a sound linguistics" is not always impressive enough to lure the literary critic to look for more linguistics. Remarkably few full-length studies of literary texts have been published so far by the linguistically-oriented critics. One such publication is Chatman's The Later Style of Henry James (London: Blackwell, 1972). One reviewer writes that the book "falters as literary criticism" because of Chatman's

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1 Frank Kermode, "Literature and Linguistics," Review of Fowler (1971) in The Listener, 2 December, 1971, pp. 769-771.

2 Harold Whitehall, "From Linguistics to Criticism," Kenyon Review XIII (Autumn 1951), p. 713.

belief in "the power of linguistics to generate value-free evaluations."[1] Two important exchanges between the literary critics and the linguistically-oriented critics can be mentioned here briefly in order to bring the issues involved into a bold relief. Both are occasioned by two separate collections of papers in stylistic analysis edited by Fowler: Essays on Style and Language (London: Routledge, 1966) and The Languages of Literature (London: Routledge, 1971). The first exchange was occasioned by Mrs. Vendler's review of Fowler (1966) in Essays in Criticism XVI (1966), 457-463. Bateson had written an editorial postscript to the review. Mrs. Vendler's complaint was that linguistic stylistics as "a method is only as good as the intelligence using it," and that instead of insight, triviality, tediousness, barbarous jargon are what linguistic stylistics offers the reader. One of her main criticisms is that

> Linguistics has given us no critics comparable in literary subtlety to certain men like Richards, Spitzer, Burke, Blackmur, Empson and others, whose sense of linguistic patterning is formidably acute.[2]

Based on a false polarization of science and values, Bateson's criticism, on the other hand, is that

> The essential objection (to linguistic stylistics) is surely a very simple one: linguistics is the science of language... ... As (a science) it is dedicated to an ideal of objective description that is unsullied by the values of ordinary human experience.[3]

Fowler's reply to the above criticism is somewhat out of focus,

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1 Michael Egan, "How Relevant is Linguistics to Criticism?" The Times Higher Education Supplement, 28 January 1972, p.13.

2 Helen H. Vendler, Review of Fowler's Essays on Style and Language, Essays in Criticism, XVI, (July 1966), p. 157.

3 F.W. Bateson, "Postscript," to Helen H. Vendler's review, p. 464.

not because it is defensive, but because he is neither here nor there. For instance, he writes:

> progress in the rapprochement of linguistics and literary studies has been hampered by the ignorance and prejudice of literary colleagues....Even if some part of linguistics (e.g., instrumental phonetics) is scientific in its methods and data, and even if some linguists assert scientific status, it is undeniable that, overall, linguistics merely affects scientism in its use of, say, postulational methods of argument, statistical presentation, mathematical models, instrumentally revealed evidence.[1]

These exchanges are revealing, not because they are "confrontation of camps" often showing a kind of political hostility and a lack of mutual respect; they are revealing because they show how the atmosphere of hostility and confrontation is not conducive to clarification and identification of the main issues involved. Take for instance Bateson's allegation:

> What I find disturbing in (Fowler's) attempt to woo the literary critic and the student is his inability to provide actual, concrete examples of the usefulness of the linguistic approach to a proper understanding and appreciation of particular poems, plays, or novels--or even particular parts or aspects of such works. Instead all that we get is theorizing--often of much interest simply as theory--and some skilful linguistic propaganda.[2] (My emphasis)

or Mrs. Vendler's forthright demand when she wrote

> If linguistics can add to our comprehension of literature someone trained in linguistics should be able to point out to us, in poems we already know well, significant features we have missed because of our amateurish ignorance of the workings of language.[3]

Again and again, the literary critics have emphasized what they expect from the linguistically-informed kind of criticism,

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1 Roger Fowler, "Introduction" to The Languages of Literature, p. 3; and "Literature and Linguistics," p. 47.

2 F.W. Bateson, "Language and Literature," in Fowler's The Languages of Literature, pp. 75-76.

3 Helen H. Vendler, Review of Fowler's Essays on Style and Language, Essays in Criticism XVI, (July 1966), p. 457.

i.e., actual, concrete examples of the usefulness of the linguistic approach to a proper understanding of particular poems, etc. Understandably enough, the literary critics are not impressed by the finer points of the theory. For them the proof of the linguistic pudding, as it were, is in eating it. This is one of the reasons why, in any attempt at pleading for a dialogue between the linguists and the literary critics, the focus should be on the actual than on the potential, on the analysis of texts than on the theory of discourse, on the models of stylistic analysis than on the theory of style. This alone can enable us to assess the value of the actual, concrete examples of the "usefulness of the linguistic approach to a proper understanding and appreciation of particular literary texts." In the post-classical Western culture literary analysis has been a preserved ground of the literary critics. In terms of their achievements of the last two millennia the literary critic can, from a position of strength, set his own entry requirement, and it is largely up to the linguist to take it or leave it. But what the critic has to say on this has obviously a statutory significance.

1.1.5 The picture presented in the preceding section would certainly have been partial and oversimplified if it were not supplemented by the positive aspect of the situation. This can be considered from two separate points of view: 1) the literary critic's continued interest in a language-based approach to literature, inaugurated at least as early as the 1930s, but persisting steadily in different forms.

This can be exemplified from the work of Donald Davie,[1] David Lodge,[2] and Mrs. Nowottny.[3] 2) the linguist's increasing interest in literary texts and literary analysis. This is evident from the work of Hill, Jakobson, Riffaterre, Levin, Chatman, Ohmann and Hayes in the United States, and Halliday, McIntosh, Sinclair, Fowler, Rodger, Leech, Thorne and Widdowson in Britain. The present work concentrates most of its attention on the latter because it is on the potentiality of the linguists' work on literary analysis that the whole case for infusion and integration stands. Since the advent of practical criticism, literary criticism in Britain and the USA has come under the sphere of influence of different approaches to literature. But under the stimulus coming from diverse sources (such as the writings of T.E. Hulme, Ezra Pound, T.S. Eliot, Richards, Empson, Leavis and his journal Scrutiny) literary analysis has grown much more self-conscious about language than it had ever been in the past. The interest in the language of literature is, thus, shared by both linguists and literary critics. On the whole, the linguist tends to start from the language-system in order to analyse its use in literary text while the literary critic concentrates most of his attention on the language use and rarely concerns himself with language-system. Thus while one

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1 Donald Davie, The Language of Science and the Language of Literature (London: 1953); Purity of Diction in English Verse (London: 1953); Articulate Energy: An Enquiry into the Syntax of English Poetry (London: 1958).
2 David Lodge, Language of Fiction (London: Routledge, 1966).
3 Winifred Nowottny, The Language Poets Use (London: 1962).

is constantly going back to the types of tokens in order to analyse the tokens, the other takes the tokens as they are--as unique instances of language use--hardly, if ever, referring to the types. This is one obvious difference in approach between the literary critic and the linguist. At the same time, the literary critic, as we shall examine in Chapters II and III, uses a metalanguage which is intuitively satisfying to describe equally intuitively apprehended properties of literary texts. The set of theoretical terms the literary critic uses as well as the procedure of analyzing literary texts is rarely explicitly defined. Thus, although both linguists and literary critics share a common interest in the language of literature they approach it from different theoretical and methodological points of view. From the standpoint of the interdisciplinary students of literary style, structure and language, the optimistic side of the picture lies in the fact that the interest in a common phenomenon is growing on both sides of the fence. This alone demands, if nothing else does, an investigation into the possibilities of rapprochement between the two different approaches to the study and analysis of literary language. Where the literary critics have a heritage and continuity of achievement stretching well over two thousand years the linguistically-oriented critics do not have a history longer than two or three decades, and it will be an unfair demand to ask the latter to produce evidence of achievement of a comparable status. But even within such a short space of time the linguists have already provided "a (linguistic) frame of reference within which it

becomes possible to pinpoint certain stylistic characteristics"[1] which are either perceived intuitively, to be described in an ad hoc metalanguage, or completely missed by the literary critics. The point is that the linguist might be in a position, not only to point out to the literary critics, in the poems they know well, significant features which they have missed, but also to provide an explicit procedure and metalanguage of literary analysis to describe those features of literary texts which the literary critics apprehend and describe only intuitively. Most important of all, the linguist might be in a position to place the language of literature and its formal and communicative properties in the overall context of the language system, everyday language and other language varieties. This is the most important aspect of the language of literature from a pedagogical point of view.

1.2. The Need for a Trial Area

1.2.1 Of several reasons why the case for linguistics in literary studies has not had a hearing it deserves--particularly from the literary critics, one is the lack of a sharp definition in the terms used in presenting the case. Most pleas, as we saw earlier, are either expressions of ambiguous goodwill or pious wishes on the part of the linguists. Unverified claims of the global applicability of linguistics in literary analysis are not enough. Hitherto what is conspicuously missing is a clear and unambiguous plan

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1 Angus McIntosh, "Linguistics and English Studies," in Patterns of Language (London: Longmans, 1966), p. 48.

or a trial programme to test how and at what level the infusion might possibly take place. This is all the more necessary because linguistics and literary criticism are studies each with its own scope, methods and techniques of analysis. This makes the setting up of an area as a trial zone a methodological prerequisite without which all arguments for or against the infusion of linguistics are likely to be merely hypothetical. Therefore, this work attempts to define the teaching of English literature in a non-native situation as a trial zone for an objective enquiry into the case for the infusion of linguistics and literary criticism. Neither linguistics nor literary criticism is directly concerned with the teaching of literature. Yet both are major contributory disciplines in the pedagogy of literature. Besides, this is one of the areas where problems can be defined and contributions to solve them assessed. Any such programme is also bound to have some practical value for tackling educational problems in non-native contexts. The other reason for choosing this as a programmatic area--in fact, the very basic one--is that in assessing the integrated programme one needs to assess, not the theoretical cogency or persuasiveness, but the practicability of the methods of analysing literary texts.

1.2.2 This work focuses its attention on models of stylistic analysis rather than on the theory of style, poetic structure and literary language. It is assumed that in assessing the models the procedural explicitness in terms of methods of analysis and the ideas at work as well as the insights gained by the procedure should be emphasized. Therefore, the notion of a "model" is basic to this work. Here the term

is used in a specific sense. A model of stylistic analysis is one which is based on some set of theoretical notions about language, and style in general and literary language and style in particular. The model makes appeal, implicitly or explicitly, to these theoretical notions which are available for independent scrutiny as a body of self-contained theory. As far as this work is concerned it is models of stylistic analysis which are being studied not the theory inspiring the analysis. Secondly, a model is a model only insofar as it is available for application to the analysis of the new data. Thus, as a procedure of textual analysis a model is assumed to be available for application in making analysis of new material. In this sense a model must be like a hypothesis open to further tests before it can be accepted as valid for the purpose for which it is postulated.

1.2.3 Different evaluation measures for models of stylistic analysis can be set up, but in the context of this study a primary requirement is that there must be procedural explicitness and that as few things as possible should be taken for granted at any step in the process of analysis. Basically three different types of approaches to literary texts are in evidence in the work of the linguists, and each of these can be of use for setting up of the goals of stylistic analysis. The first type of approach to literary texts considers them as data or corpus for presenting different problems in the theory of linguistic description. For example, in early Hallidayan work on literary texts and the work of Hill, Levin and Thorne (who use such isolated strings from literary texts as a grief ago and he danced his

did) literary material is used as data for discussing problems of the theory of grammar or for validating such a theory. A second approach in evidence is to examine literary texts as texts, i.e., as formal linguistic objects. In the second approach the aim of the analyst is to explore the intra-textual relations, as tokens or types, in terms of parallelisms, equivalences, correspondences and cohesive formal devices. This approach is exemplified in the work of Jakobson, Levin and other structuralists. Finally, a third type of approach to literary texts is to consider them as message-types, i.e., as units of communication rather than as formal linguistic objects to be studied in isolation from their communicative or rhetorical properties. The three types of approach enable us to set up certain goals of stylistic analysis. The following diagram shows the relationship between the approach, the focus, and the goal

Figure 1

Approaches to and Goals of Stylistic Analysis

Approach	Focus	Goal
Literary text as data	Problems of theory and description	Validation of the theory
Literary text as text	Intra-textual patterns; text as a formal linguistic object	Analysis of the formal patterns, devices and relations
Literary text as message	Message	Analysis of the stylistic, rhetorical and communicative properties of literary texts

As long as the goal is made clear each of the three approaches may have some or other contribution in making the literary text available to the reader. As we shall be coming back to

these goals later, what is more important at this stage is to keep the three goals distinctly apart because one does not necessarily imply the others. If we adopt the pedagogy of literature as the chosen trial area for investigating the relevance of different models of stylistic analysis, the distinctions made above are all the more crucial because the materials and the principles to be used in teaching them need to be thoroughly assessed in terms of practicability. The models need evaluation in terms of clarity and explicitness with which they can be utilized or transmitted either as methodology or as insights in a real-life teaching situation.

1.2.4 Apart from the notion of a model of stylistic analysis, two other important notions, used frequently in this study, are "intuition" and "universe of discourse." As both will be used particularly in the investigation of literary criticism as theory and as practice in Chapters II and III or subsequently, here they might need some comment. In this work the word "intuition" is used in the sense defined by Quine, who writes

> By intuitive account I mean one in which terms are used in habitual ways, without reflecting on how they might be defined or what presuppositions they might contain.[1]

An awareness of the "intuitiveness" of the intuitive accounts is the starting point of stylistic analysis--particularly of the linguistic models. In comparison with the literary models, exponents of the linguistically-oriented analyses of style claim that in place of intuitive apprehension they bring explicit rational description, based on precise theory of

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1 W.V.O. Quine, Word and Object (Cambridge: Mass.: 1960), p. 36.

language, to the analysis of texts. In literary analysis 'style' remains a cover term for intuitively apprehended properties of literary texts, and the literary critic's intuition is the basis of much literary analysis. Few literary analysts can do without it. In this context we can bring in the notion of 'universe of discourse' as well. Following W.M. Urban,[1] Lyons defines 'universe of discourse' as

> the conventions and presuppositions maintained by "the mutual acknowledgement of communicating subjects" in the particular type of linguistic behaviour under consideration.[2]

Both "intuition" and "universe of discourse" are directly relevant notions in studying the models of style-analysis because assessing these models is at least in greater part assessing the universe of discourse they operate in and the types of intuition they claim to make explicit in the process of analysis. In Chapters II and III we shall see how the literary critics make use of the kind of conventions and presuppositions they maintain at the levels of theory and practice.

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1 W.M. Urban, Language and Reality (London: 1939).
2 John Lyons, Structural Semantics (Oxford: Blackwell, 1963), p. 86.

Chapter II

Literary Approach to Stylistic Analysis: Theory

2.0. Introduction

2.0.1 "The literary analyst is not," wrote Halliday, "content with amateur psychology, armchair philosophy, or fictitious social history; yet the linguistics that is applied in some accounts of literature, and the statements about language that are used as evidence, are no less amateur, armchair and fictitious."[1] The purpose of this section is to investigate if "the linguistics that is applied in some accounts of literature, and the statements about language that are used as evidence" are, as Halliday says, "amateur, armchair and fictitious." Except for a few seminal essays here and a few remarks there,[2] a close examination of literary criticism from the standpoint of linguistics has remained a neglected area. Such an examination of literary criticism is a vital preliminary step towards a meaningful rapprochement between linguistics and literary criticism. It is, in any case, the linguist who should take the first step since it is he who claims to know the way. Any work of this kind implies a clear definition of mutual frontiers of the two disciplines--the frontiers that intersect, but do not overlap completely. "Linguistics," as Halliday puts it, "is not and will never be the whole of literary analysis, and only the literary analyst--not the linguist--can determine the place of

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1 M.A.K. Halliday, "Descriptive Linguistics in Literary Studies," Patterns of Language, Angus McIntosh and M.A.K. Halliday (London: Longmans, 1966), p. 68.

2 See Angus McIntosh, "Linguistics and English Studies," ibid., pp. 42-55.

linguistics in literary studies."[1] The linguist is not a literary critic, but there is some valid ground for requiring the literary critic to be a competent linguist if he claims to be a good critic. The fact that the linguist is indifferent to aesthetic value while the literary critic is not, does not make any difference here. What one is saying here is that the literary critic has an obligation to be informed about what he is conventionally required, not only to describe, but also to evaluate i.e., language as it is used in literary texts.

2.0.2 In "The Origin of Speech"[2] Hockett isolates 13 'design features' of human language as a communication system to which later he adds three more. Of the three additional design features of human language discussed elaborately in "The Problem of Universals in Language,"[3] Hockett mentions "reflexiveness" as a key feature. Defining this feature Hockett writes, "In a language, one can communicate about communication."[4] As a communication system this design feature is by far the most important one among the possibilities of human language. Several different branches of human enquiry, such as linguistics, poetics, rhetoric, logic, etc., are supported by the possibility of communicating about communication in a natural language. It is on this design feature that the notion of "degrees of language" or metalanguage is based. One of the clearest formulations

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1 Halliday, op.cit., p. 67.
2 Charles F. Hockett, "The Origin of Speech," Scientific American, September, 1960, pp. 89-96.
3 Charles F. Hockett, "The Problem of Universals in Language," in J. Greenberg (ed.), Universals in Language (Cambridge: Mass., MIT Press, 1968), pp. 1-22.
4 Ibid. p. 10.

of this notion is to be found in Language: An Introduction[1] by Louis Hjelmslev, the Danish linguist. To summarize him in brief, every science aims to provide a procedure by means of which objects of a given nature are to be described. This is always done by introducing a language by means of which the objects can be described: a set of terms is introduced--a terminology with accompanying definitions--and then the description is made by using these terms. In linguistics, as Zellig Harris puts it, "the metalanguage is in language."[2] In other words, the object to be described is itself language. The language for describing languages is called a metalanguage, and the language described is called an object language. According to Hjelmslev

> There can be languages of different degrees: first-degree languages, and second-degree languages, or metalanguages. Theoretically, of course, we can continue the progression: a language that describes a metalanguage will be a third-degree language, or a second-degree metalanguage (also called a meta-meta-language). And we shall see that this theoretical possibility is actually found... ... In every science there will remain some indefinables, or basic concepts--terms that are not defined within the scientific language itself but that can be defined by the introduction of another language, which will be a metalanguage with respect to the language involved. So also in grammar (i.e., as a first-degree metalanguage) there will remain certain basic concepts, certain undefined terms that can be defined only by introduction of a second-degree metalanguage.[3]

In other words, a natural language is an object language; a description of its etat de langue is a first-degree meta-language, and the theory of language from which the description derives certain basic concepts, is the second-

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1 Louis Hjelmslev, Language: An Introduction; Translated from Danish by J. Whitfield (Madison: The University of Wisconsin Press, 1970).

2 Zellig Harris, Mathematical Structures of Language (Interscience Publishers, 1968), p. 17.

3 Hjelmslev, Language: An Introduction, pp. 132-133.

degree metalanguage. This, in brief, is a theoretical framework which holds good in the case of literary criticism or stylistics as much as it does in the case of natural language as a whole. This is so because the interrelationships between the object language and the first-degree metalanguage on the one hand, and the interrelationship between the first-degree metalanguage and the second-degree metalanguage, on the other, in both the disciplines are parallel in nature. One obvious advantage of adopting this framework, therefore, is that it makes the task of comparing two disciplines at two different levels a theoretically defensible and practically convenient task. By using this as an observational framework, literary criticism and stylistics can both be investigated as metalanguages. This opens the possibility of examining in detail how precise, efficient and explicit is descriptive criticism as well as stylistic analysis as a first-degree metalanguage. Secondly, this makes it possible to investigate and compare the nature of the theory of criticism as well as general stylistics as a second-degree metalanguage—as the lexicon of what Hjelmslev calls "basic concepts" and "indefinables" and from which these are drawn by descriptive criticism and stylistic analysis respectively. This observational framework may be represented in the form of a diagram of the following kind:

Diagram 1

Language System	Language Use	
Second-degree Metalanguage (Linguistic Theory)	Theory of Criticism	Theory of Style
First-degree Metalanguage (Grammar/*Etat de langue*)	Descriptive Criticism	Stylistic Analysis
Object Language (Language L)	Literary texts	

In the following sections what is attempted is a close examination of the theory of literary criticism as a second-degree metalanguage, as a source of "indefinables" upon which descriptive criticism draws. The nature of the literary critical second-degree metalanguage is one of the most crucial factors in making descriptive criticism what it is in practice. In this work, as will be clear from the following sections, it is *not* being assumed that there is a monolithic theory of criticism or poetics. What is assumed, however, is that there *is* a theory of criticism and that it is accessible for discussing in explicit terms what "indefinables" are its components.

2.0.3 Thus for our operation a defensible line of approach to literary criticism is to examine the literary critic as if he were a linguist--to isolate from the corpus of his work such statements as he makes about

language at several levels of theory, description and interpretation. Like the linguist, the literary critic is concerned with language at two levels of description. When the critic is examining a text, literary criticism operates as a metalanguage at first remove from language use i.e., first-degree metalanguage. Here the literary critic is in a position similar to that of the linguist describing a language. But the critic, like the linguist, goes further and describes not just the text of a poem but poetry or literature in general as well. Here he is in a position similar to that of the linguist who is concerned, not with a language, but with language. At the level of theory, where the critic is not discussing any particular text but is at the same time making statements about the nature of language or language in literature, he may be said to be working with a metalanguage at second remove from an actual text. This can, following Louis Hjelmslev, be called a second-degree metalanguage. Thus, literary criticism can be investigated from the linguist's point of view at two levels:

1. Literary Criticism as a first-degree metalanguage, and

2. Literary criticism as a second-degree metalanguage

depending upon whether literary criticism is working to describe the language of a text or the language in/of literature without drawing upon any specific text or texts.

2.1. Richards and Empson: Reasons for Choosing Their Work

2.1.1 As the founding father of 'Practical Criticism' Richards' work is nearly the best specimen for examining literary criticism as a second-degree metalanguage, because the point from where Richards' practical criticism starts is, in practice if not in theory, also the point where the linguist would have started his analysis of poetic texts. Richards' works, more than any single critic's work or influence, have made modern literary criticism in English consciously language-oriented. In the Preface to the second edition of The Meaning of Meaning (1923) Ogden and Richards wrote that Principles of Literary Criticism "endeavours to provide for the emotive function of language the same critical foundation"[1] as The Meaning of Meaning attempted to provide for the symbolic (i.e., referential). Whether or not Richards succeeded in this professed objective is much less significant in this context than the fact that Richards stands almost alone among other critics in English (particularly in Britain) for his passion for critical 'system-building'. There certainly are other influential critics, in some respects greater than Richards such as, say, T.S. Eliot or F.R. Leavis. But neither has shown any willingness to elaborate a structure of theory of criticism. Eliot's work--the mass of some five hundred essays, reviews and published lectures--is, in his own words, 'a by-product of' his poetry, a kind of workshop

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1 C.K. Ogden and I.A. Richards, The Meaning of Meaning (London: Routledge, 1923), p.xi.

criticism. Leavis, on the other hand, has shown a grim and consistent determination to refuse to theorize. On theoretical side his work is, by and large, derivative. However vulnerable or ramshackle the theory may be, Richards alone may be said to have 'built a theory'. In his early works there is a passionate impatience with 'the state of the art'—an impatience with all critical theories between Aristotle and his own work, which he demolishes with a single sweep in a single sentence:

> A few conjectures, a supply of admonitions, many acute isolated observations, some brilliant guesses, much oratory and applied poetry, inexhaustible confusion, a sufficiency of dogma, no small stock of prejudices, whimsies and crotchets, a profusion of mysticism, a little genuine speculation, sundry stray inspirations, pregnant hints and random apercus; of such as these, it may be said without exaggeration, is extant critical theory composed.[1]

For this 'chaos of critical theories' Richards hoped to build a scientific theory of value based on what he thought such a theory ought to be based on i.e., the science of psychology. Richards may be said to be the first modern critic who willingly went to other specializations in search of theoretical insights, analytical tools and descriptive terminology. Richards' predilection for science set him apart from other critics who, on the whole, distrusted its encroachment on aesthetic pleasure. What distinguishes Richards from his colleagues is his faith in the possibility of formulating a theory of criticism based on 'scientific grounds'.

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1 I.A. Richards, Principles of Literary Criticism, Paperback, ed. (1924; rpt. London: Routledge, 1970), p. 2.

2.1.2 In the words of Stanley Edgar Hyman, "One of the principal implications of modern criticism is its development toward a science. In the foreseeable future, literary criticism will not become a science (we may be either resigned to this or grateful for it), but increasingly we can expect it to move in a scientific direction; that is toward a formal methodology and system of procedures that can be objectively transmitted."[1] The earliest attempts to develop 'a formal methodology and system of procedures that can be objectively transmitted' are to be found in the works of Richards, in Principles of Literary Criticism (1924) and more particularly in Practical Criticism (1929). 'Practical Criticism' is practical, not only because it rejects historical and scholarly apparatus in criticism, but also because it aspires to the happy condition where the critic can 'use laboratory technique and make falsifiable statements.' It was merely a coincidence, rather than a true convergence, that Eliot's name, too, is as often invoked, as it is thought to be associated, with the critical tradition of 'close reading'. There is hardly any evidence in Eliot's own work (other than his pronouncement against 'the lemon-squeezer school of criticism'[2]) to suggest such a convergence. The following is nearest to any statement Eliot has made in support of reading poetry closely:

> ... ... the problem appearing in these essays, which gives them what coherence they have, is the problem

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1 Stanley Edgar Hyman, The Armed Vision (New York: Knopf, 1952), p. 9.
2 T.S. Eliot, "The Frontiers of Criticism," in On Poetry and Poets (London: Faber, 1957), p. 113.

> of integrity of poetry, with the repeated assertion that when we are considering poetry we must consider it primarily as poetry and not another thing."[1]

For examining the works of Richards as a second-degree metalanguage there is one final vested interest: Richards, possibly together with some other Cambridge academic critics as Leavis, has a professed pedagogical eye on the implications of his work as a critic. His preoccupations are far too many--Basic English, World Literacy, the Health of Contemporary Culture, and Chinese Philosophy being only a few among the pronounced ones. But the impact of his work on the pedagogy of literature teaching has been profound and far-reaching so that in many universities in Britain, America and overseas 'verbal analysis' has become, since the 1930s, a form of new orthodoxy. For the purpose of our investigation we, however, have to concentrate on three main works of Richards: Principles of Literary Criticism, Science and Poetry (1926), and Practical Criticism, because it is Richards the theoretical critic that we are interested in, not Richards the speculative philosopher.

2.1.3 Literary criticism is not a monolithic theory nor is it so in practice, but the name and practice of 'close reading' or 'verbal analysis' is the closest one to 'linguistic' stylistics that literary theory and practice has to offer so far. As its very name suggests, its professed concern is with the language of literary work

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1 Eliot, "Preface," in The Sacred Wood, (London: Methuen, 1928: first published on November 4, 1920), p. viii.

and its method of approach to the literary work is 'analytical'. The name and practice of 'practical criticism' is associated with the English School in Cambridge although the first people to try it out were Robert Graves and the American poetess Laura Riding, and neither had anything to do with Cambridge English School. In their 'word-by-word collaboration' in A Survey of Modernist Poetry (1927) the account of an unpunctuated version of Shakespeare's 129th Sonnet was, according to Richards' account, William Empson's model in his Seven Types of Ambiguity (1930). Although the book is now considered as a classic of 'close reading' Empson did not obviously invent the technique of verbal analysis: he was only the chief and perhaps the most brilliant of its practitioners. How much of his method he owes to Richards, his teacher at Cambridge, will be clear later on when we discuss Empson in detail, but the dedicatory lines to I.A. Richards in The Structure of Complex Words (1951)[1] show that he did not always agree with the ideas of the master. Apart from his 'brilliance' as a verbal analyst, Empson is the first to systematize its techniques and characteristic terms in practice (ambiguity, wit, irony, paradox, tension, etc.). Comparatively speaking, he may be said to be interested in theoretical issues just as the group of critics associated with the journal Scrutiny (1932-1953) is not. Although Scrutiny contains in its pages

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1 William Empson, 'For I.A. Richards who is the source of all ideas in this book, even the minor ones arrived at by disagreeing with him,' Dedication in The Structure of Complex Words (London: Chatto & Windus, 1951).

some of the sharpest close reading of our time, with Leavis and his colleagues scrutinizing the whole area of English literature, proceeding by "a minute and brilliant examination--by a scrutiny--of actual passages,"[1] the nearest to anything that might be called an explicit statement of their theoretical position could be found only in the controversial editorials of Leavis. Seven Types of Ambiguity, which Empson drafted in two weeks when he was a twenty-one year old undergraduate, and The Structure of Complex Words are both based on the belief that poetry is open to analysis and that language is the avenue to such an approach. As Empson puts it so modestly, "the reasons that make a line of verse likely to give pleasure, I believe, are like the reasons for anything else; one can reason about them." Because Empson has, in these two books, read poetry in a way and at a length no one had ever read before, there is a valid ground to explore what he has to say about language in the pages of these seminal books. After having scrutinized the first draft of young Empson's Seven Types of Ambiguity--the central 30,000 words or so of the book--Richards writes of the work, "I can't think of any literary criticism written since which seems likely to have as persistent and as distinctive an influence."[2] The influence has been both 'persistent' and

1 Laurence Lerner, "The Life and Death of Scrutiny", London Magazine (January, 1955), cited by George Watson, The Literary Critics (London: Penguin, 1962), p. 209.

2 Richards, "The Resourcefulness of Words," Furioso, No.1 (Spring, 1940), pp. 83-90. cited by Stanley E. Hyman, The Armed Vision (New York: 1952), p. 294.

'distinctive' but how reliable the work is as a statement on the language of poetry, will be discussed in a separate section on Empson as a theoretical critic.

2.2. I.A. Richards: The Theoretical Critic as Linguist

2.2.1 In the following sections we propose to examine the work of Richards and investigate in detail what he has to say on the language of literature. Linguistics is only one of many worlds of knowledge which the literary critics have always taken as their own province. Richards' works as a literary theoretician are no exception to the above generalization. From Principles of Literary Criticism to Practical Criticism, with the much revised monograph Science and Poetry intervening in between, Richards's position as a theoretical critic of literature may be said to have been consolidated and committed by 1930. Therefore, there is some validity in approaching him through these works. It is in these works, more than in any other that he has written before or since, that Richards could strictly be called a theoretical critic of literature. If one reads or re-reads these early works of Richards today, one cannot help feeling the infection of somewhat dated enthusiasm which Richards displays in their pages. But nothing is more disturbing about, say Principles, than the fact that there is an unhealthy imbalance of attention: the book has, in fact, remarkably little to say about the poem as a verbal phenomenon. This is curious in the scriptural work of a theoretician who, by the consensus of

enlightened opinion, has almost solely fathered 'Practical Criticism'. In spite of his prefatorial apologia for writing "what amounts to a concise treatise on psychology",[1] "the desire to link even the commonplaces of criticism to a systematic exposition of psychology"[2] is predominant in the book. At the very outset Richards' theoretical position in this respect is beset with a dichotomy. In a chapter called 'The Language of Criticism' in Principles Richards writes

> It will be convenient at this point to introduce two definitions. In a full critical statement which states not only that an experience is valuable in certain ways, but also that it is caused by certain features in a contemplated object, the part which describes the value of the experience we shall call the critical part. That which describes the object we shall call the technical part.[3]

The experience caused by certain features in a contemplated object--is an agreeable formulation as long as one does not mind the overtones of behavioristic stimulus-response dichotomy on the one hand and a kind of hierarchy implied between the experience and the contemplated object, on the other. That Richards means what he says is made clear a little further in the same paragraph:

> All remarks as to the ways and means by which experiences arise or are brought about are technical, but critical remarks are about the values of experiences and the reasons for regarding them as valuable, or not valuable... ...Critical remarks are merely a branch of psychological remarks.[4]

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1 Richards, Principles, p. viii.
2 Ibid.
3 Ibid., p.15.
4 Ibid.

It is not so much Richards' psychology-orientation which is disturbing: what is perturbing is the complete relegation of "all remarks as to the ways and means by which experiences arise or are brought about" to the "technical remarks". To Richards criticism, by definition, is, paradoxically, indifferent to its object of contemplation i.e., the verbal artefact. No wonder that most of Richards' chapters in Principles are preoccupied with 'experience', not with 'ways and means by which (these) experiences arise or are brought about'.

2.2.2 The relegation of "the technical remarks" to a subsidiary status in Richards' theory of literary criticism is not arbitrary. It arises from his basic theoretical position. First, he was theorizing across arts, and secondly, he was, as D.W. Harding puts it, "in effect meeting the friendly and intelligent Philistine on his own ground".[1] This implies postulating three distinct though closely linked hypotheses: 1. that art (i.e., aesthetic experience) and the rest of human activity (i.e., non-aesthetic experience) are continuous and not contrasting, 2. that art is the most valuable form of activity ('the arts are the supreme forms of the communicative activity'—Principles, p.17), and 3. that the value of any activity depends on the degree to which it allows of a balancing or ordering among one's impulses ('that organization which is least wasteful of human

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1 D.W. Harding, "I.A. Richards," in Determinations, ed. F.R. Leavis (London: Chatto & Windus, 1934), p. 222.

possibilities is, in short, the best'—Principles, p. 39). In Richards' choice of the common denominator—the satisfied impulse as a unit of measurement in the theory of value, the significance lies in the fact that Richards felt the need to justify poetry or arts by the current standards of the outside world. This would be possible only by ignoring the uniqueness of the medium of each of the arts. This, in fact, is what it amounts to in Richards' attempt to stride over the difficulties of detail in his chapters on painting, sculpture and music. The distinction between the essentials (experience) and the inessentials (technique resulting in the contemplated object or artefact) is a very tidy peg to hang all untidy details on the way to theorization.

2.2.3 Richards' attempt to distinguish between technical criticism (which deals with the make-up of the stimulating object) and evaluative criticism (which deals with the value of the experience communicated) gives rise in his theory to a whole series of related separations: between value and communication ('The two pillars upon which a theory of criticism must rest are an account of value and an account of communication.'—Principles, p. 17); between "badness" that results from faulty communication of a valuable experience and "badness" that results from communication of a worthless experience. The awkwardness of Richards' position becomes obvious as soon as one discovers that he hopes to evaluate the communicated experience, not only by minimizing the importance of the

means of communication, but by asserting the fallacy of the objectivity of the verbal artefact. Thus,

> ... 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, the fallacy of 'projecting' the effect and making it a quality of its cause.[1]

In the same chapter 'The Language of Criticism', where he elaborates upon the distinction between 'objects' and 'states of mind', the last paragraph is very disquieting for everyone who believes that Principles is a theoretical basis of what is called 'verbal analysis'. In the final paragraph Richards says,

> The trick of judging the whole by the detail, instead of the other way about, of mistaking the means for the end, the technique for the value, is in fact the most successful of the snares which waylay the critic... ... We pay attention to externals when we do not know what else to do with a poem.[2]

By setting up the dichotomous relationship between 'objects' and 'states of mind', between 'externals' and 'the poem', Richards is making an impossible demand upon the critic to judge the poem as 'a state of mind'. On this account the poem is in the mind of the reader, not on the page. When we are ready to use Richards' theoretical machinery it evaporates. The poem is before us and is susceptible to analysis, but the psychological goings-on turn out to be below the surface and out of sight. The labour of criticism in analysing the poetic object is vain if the alleged balanced poise of our "appetencies" is in our 'response'. Roger Fowler's allegation, in the following

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1 Principles, p. 13.
2 Ibid., p. 16.

statement, is not far from the truth:

> In fact, much English 'Practical Criticism' since Richards has displayed fundamentally affective and emotional tendencies... for which the terms of descriptive criticism function as a screen of pseudo-objectivity.[1]

The point is that Richards' theory of criticism is rooted in his desire to discuss poetry in terms of stimulus and response, in terms of means and ends. The theoretical edifice itself veered more toward a systematization of approach to response than to an invitation to any close scrutiny of stimulus of linguistic facts. The latter was essentially a subsidiary preoccupation of the theoretical critic, because "To set up as a critic is to set up as a judge of values". As a judge of values he need not be distracted by the inessentials such as the language of poetry, its medium and organization. The inessentials will be taken care of by "the technical remarks".

2.2.4 Lengthy excursions into Richards' theory of value are no central concern of this work, but what he has to say about language would have meaning only in the general perspective of the theory that he has propounded. "Criticism, as I understand it," writes Richards, "is the endeavour to discriminate between experiences and to evaluate them."[2] In his concern to ward off attempts to substitute description of the object for the judgement of

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1 Roger Fowler and Peter Mercer, "Criticism and the Language of Literature: Some Traditions and Trends in Great Britain," in The Languages of Literature, ed. Roger Fowler (London: Routledge & Kegan Paul, 1971), p. 106.

2 Principles, p. vi.

experience Richards' approach in Principles results in 'a disabling indifference' to language. This is natural in view of the fact that, as Fowler says, "the critic he has in mind is attending not to the poem but to the feeling the poem produces in him."[1] But where Richards does talk about language, as in his thirty-fourth chapter 'The two uses of Language', he reveals not so much a sensitive insight into language or into the language of poetry as a vulnerable and dogmatic distinction of linguistic phenomenon into categorical 'uses'. He begins the chapter on the two uses of language by saying, "There are two totally distinct uses of language. ... ... for the theory of poetry and for the narrower aim of understanding much which is said about poetry a clear comprehension of the differences between these two uses is indispensable. For this we must look somewhat closely at the mental processes which accompany them." (underline added)[2] There is, right at the outset, an unresolved ambiguity in Richards' attempt to look closely at 'the mental processes which accompany' the two totally distinct uses of language. Since Richards is speaking of the uses of language one would have thought that he was talking about the mental processes of the speaker/writer rather than those of the hearer/reader, but one also realizes that Richards is talking of 'the mental processes' which accompany these uses. Although we are made to believe that an understanding of these accompanying

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1 Roger Fowler and Peter Mercer, op.cit., pp. 108-109.
2 Principles, p. 206.

mental processes is 'indispensable' we are not told clearly how they accompany these uses. Richards says

> A statement may be used for the sake of the reference, true or false, which it causes. This is the scientific use of language. But it may also be used for the sake of the effects in emotion and attitude produced by the reference it occasions. This is the emotive use of language. The distinction once clearly grasped is simple. We may either use words for the sake of the references they promote, or we may use them for the sake of the attitudes and emotions which ensue.[1]

This may be said to be the seminal theoretical statement on language which lies at the basis of a number of important critical tenets and issues of literary criticism till the late 1950s. The heresy of paraphrase,[2] the problem of belief in poetry,[3] doctrine in poetry,[4] four kinds of meaning,[5] --all go back to the distinction between the scientific and the emotive uses of language. Richards had already presented this distinction in The Meaning of Meaning, though in the earlier distinction the tone is less categorical:

> this subtle interweaving of the two functions is the main reason why recognition of the difference is not universal.[6]

The basic differences between the two uses of language, as Richards sees them in Principles, are in "the mental processes involved in the two cases."[7] In "the scientific

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1 Principles, p. 211.
2 See Cleanth Brooks, The Well-Wrought Urn: Studies in the Structure of Poetry (London: Dobson, 1949).
3 See Richards, Principles, Chapter 35: 'Poetry and Beliefs'.
4 See Richards, Practical Criticism, Part III, Chapter VII: 'Doctrine in Poetry'.
5 Ibid., Part III, Chapter I:'Four Kinds of Meaning'.
6 Ogden and Richards, p. 150.
7 Principles, p. 211.

use of language not only must the references be correct for success, but the connections and relations of reference to one another must be of the kind which we call logical."[1] In other words, in the scientific use of language the references must be correct (i.e., verifiable) and the references, among themselves, must be logical. But "for emotive language," says Richards, "the widest differences in reference are of no importance if the further effects in attitude and emotion are of the required kind... "[2] "But for emotive purposes logical arrangement is not necessary. It may be and often is an obstacle."[3] Thus the emotive use of language is free from both the restrictions 1. the truth of reference, and 2. the logic of inter-statement relations. This distinction leads Richards to make some of the most remarkable statements on the language of poetry.

2.2.5 The final chapter of Principles, 'Poetry and Beliefs', begins with a disconcerting note of self-assurance:

> It is evident that the bulk of poetry consists of statements which only the very foolish would think of attempting to verify. They are not the kind of things which can be verified.. ... And equally, a point more often misunderstood, their truth, when they are true, is no merit. The people who say 'How True!' at intervals while reading Shakespeare are misusing his work, and, comparatively speaking, wasting their time.[4]

At this point in Richards' views on language we have come a long way from a categorical distinction between the two uses of language. Here Richards is emphasizing not only the

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1 Principles, p. 211.
2 Ibid.
3 Ibid., p. 212.
4 Ibid., p. 215.

unverifiability of the language of poetry in terms of extra-textual reference; he is also denying it all truth-value of its notional content. "Poetry affords the clearest examples of this subordination of reference to attitude. It is the supreme form of emotive language."[1] On Richards' account so far the emotive use of language is 1) free from the verifiability of the reference; 2) free from logical coherence of its statement, and 3) its truth, when it is true, has no merit. It was, however, not until the publication of Science and Poetry (which, according to Richards, is a side-shoot from Principles of Literary Criticism) that this view of the language of poetry received an apotheosis of the canonical status and the term 'pseudo-statement' passed in circulation. Replacing the original distinction between the scientific use of language and the emotive use of language by another dichotomous distinction Richards writes in Science and Poetry:

> A pseudo-statement is a form of words which is justified entirely by its effect in releasing or organizing our impulses and attitudes; a statement, on the other hand, is justified by its truth, i.e., its correspondence, in a highly technical sense, with the fact to which it points.[2]
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> A pseudo-statement is 'true' if it suits and serves some attitude or links together attitudes which on other ground are desirable.[3]

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1 Principles, p. 216.
2 Richards, Science and Poetry Revised ed. (1926; rpt. London: Routledge, 1970), p. 60.
3 Ibid., p. 60.

2.2.6 From the elaborate quotations given above we should be able to assess Richards' status—the status of a theoretical critic par excellence as a linguist. In this respect his status as a linguist is in no way different from his status as a psychologist or metaphysician.

> As a handy label for it, the term 'amateur' (with some of its implications) will perhaps do. It is suggested for one thing by the slight acerbity with which so many 'professionals'—literary critics, psychologists, metaphysicians—dismiss him, together with the slight awe he inspires in the virginally lay.[1]

Setting aside the inhibitory awe that Richards tends to inspire in 'the virginally lay', if the professionals dismiss him it must be because the superstructure of his theoretical pastiche gives way, by bits and pieces, to the professional scrutiny. From the linguistic point of view, Richards' characterisation of the emotive language is far from satisfactory and cogent. While in the first of the three different senses Richards defines emotive language in terms of use (i.e., language used non-referentially), in the second sense he defines it in terms of consequence (i.e., language which arouses attitudes from the poem to the reader). In the third sense, he defines it in terms of the type of response (i.e., language which requires special form of comprehension or interpretation from the reader to the poem). In all these three instances Richards is appealing to the criteria which are outside language. In the first he appeals to logic or to a field of discourse where science is the ideal; in the second he

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1 D.W. Harding, "I.A. Richards," in Determinations, ed. F.R. Leavis (Chatto & Windus, 1934), p. 218.

appeals to speculative psychology (i.e., the psychology which is more theoretical than demonstrable) and other mental processes which are much less than observable; in the third sense, on the other hand, he appeals specifically to the psychology of reading. Why must poetry be read differently? The only answer that Richards offers is that it must be read differently because the poet is not saying what he is, in fact, saying for the sake of saying it. Ironically, Richards' approach to the language of poetry compels the reader's attention to the notional content of poetry precisely by denying its relevance and 'reference-value'. The irony lies in the fact that entry into the meaning of the poem in Richards's own sense of the term, takes place primarily through the 'reference-value' of the language of the poem. The total meaning may be a very complex phenomenon---an interanimation of the code value of each individual word and its contextual value(s) in the poem as a message-type. But this interanimation of the code and the context can take place only if we can make an entry into the semantic structure in terms of the 'reference-value' of the poem. The language of poetry is constantly being juxtaposed against "certified scientific statements". It is no exaggeration to say that Richards is more interested in the truth-value or otherwise, the attitudes poetry arouses, than in the language of poetry, in its linguistic properties or organization. Richards believes 'attitudes' to be central to the language of poetry, but his 'impulse theory' provides no real explanation of the genesis or nature of attitudes. There is an almost

wilful neglect of expressive as distinct from the evocative aspect of emotive language in Richards's approach. At any rate, Richards' exposition of the nature of poetic language does not help us to understand the language of poetry, partly because he is more interested in the dichotomous distinctions than in language, but mainly because he does not approach the language of poetry simply as language without resorting to the psychology of reading, speculative psychology or to logic. Like his theory of value, the exposition on the two uses of language seems to say so much, but as soon as one examines it somewhat closely one finds oneself standing on the uncertain grounds and ill-defined province of 'attitudes' and impulses and so on. Incidentally, this reminds us of Empson's remark on Richards' quantitative approach to impulse in his theory of value, where Empson says, "I understand that we have about a million impulses a minute, so the calculation involved might be pretty heavy."[1]

2.2.7 Richards takes up to examine the language of poetry and analyse poetic meaning in greater detail with documentary elaboration in the simulated laboratory conditions in Practical Criticism. Introducing his analysis of meaning in poetry Richards writes in Practical Criticism:

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1 Empson, "Theories of Value," The Structure of Complex Words, p. 420.

> The all-important fact for the study of literature--or any other mode of communication--is that there are several kinds of meaning...the Total Meaning we are engaged with is, almost always, a blend, a combination of several contributory meanings of different types.[1]

Accordingly, Richards divides the Total Meaning into four aspects: Sense, Feeling, Tone, and Intention, and, for some impenetrable reason, calls these four aspects of poetic meaning 'four types of function'. While 'Sense' can be defined as the notional content of language in communication epitomized in the referential use of language in science, 'Feeling' is its emotive content (epitomized by the emotive use of language in poetry) which, together with 'tone' (i.e., the poet's attitude to his reader) comprises the attitudinal aspect of such communication. In the above limited sense, the first three - sense, feeling and tone may be said to be components of poetic meaning, rather than a type of function. If these are functions, in what sense are they so? How 'Intention' can be called a function of poetic meaning is never made clear either. Richards seems to be aware of the ambiguous role of 'Intention', because in a footnote he writes, "This function plainly is not on all fours with the others."[2] Then Richards directs us to confer a later section of the book where the following is what he has to say by way of elaboration on this puzzling point:

> An intention is a direction of the active (not the receptive) side of the mind. It is a phenomenon of

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1 Richards, Practical Criticism, Paper Ed. (1929; rpt. London: Routledge, 1970), p. 180.
2 Ibid., p. 182.

> desire not of knowledge. Like a thought, it may be more or less vague, and it is exposed to analogous forms of error.[1]

That Richards was not very clear on this is obvious from his attempt to use 'Intention' as a kind of dust-bin to accommodate everything that is left over after accounting for Sense, Feeling and Tone. A little later he writes,

> And when we have admitted this, it is no long step to admitting that the form or construction or development of a work may frequently have a significance that is not reducible to any combination of our other three functions.[2] This significance is then the author's intention.

This amounts to saying that whatever is not accountable otherwise is the author's intention. Richards is not unaware of the complexity of poetic form and meaning. But the account he gives of the meaning in poetry is misleading. For one thing, his analysis of poetic meaning tends to establish a rigid hierarchy among the four kinds of meaning in poetry--a hierarchy in which 'Sense' is only a means to an end (feeling, tone, and intention). Everything that the poet does on the 'Sense'-level of meaning is therefore subordinate to other three 'functions.' By relegating 'sense' to a subsidiary status, Richards comes to stress 'attitude' as a composite feature (i.e., of feeling, tone and intention) of the emotive use of language as distinct from the referential or scientific use of language where 'sense' would, presumably, be the sole function of meaning in language. For instance,

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1 Practical Criticism, pp. 330-331.
2 Ibid., p. 356.

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> The point is that many, if not most, of the statements in poetry are there as a means to the manipulation and expression of feelings and attitudes, not as contributions to any body of doctrine of any type whatever.[1]

> A poet may distort his statements; he may make statements which have logically nothing to do with the subject under treatment; he may, by metaphor and otherwise, present objects for thought which are logically quite irrelevant; he may perpetuate logical nonsense, be as trivial or as silly, logically, as it is possible; all in the interests of the other functions of his language--to express feeling or adjust tone or further his other intentions.[2]

In his subordination of 'Sense' to other functions of poetic meaning Richards is reacting to what he calls "literalism". But, at the same time, he is, as usual, thinking in terms of means and ends. Elsewhere he says, "the aim of the poem comes first, and is the sole justification of its means." What is characteristic of Richards' insistence on logic (see, for instance, the number of times he mentions 'logical' or 'logically' in the quotation above) is the appearance of cogency of approach without, in reality, taking the totality of poetic meaning into consideration. All the while Richards argues as if a poem were saying something either true or false. The truth-tables of Propositional Calculus are perpetually intruding into his analysis of poetic meaning. Although he starts with the assumption that the 'total meaning' we are engaged with, is "almost always a blend, a combination of several contributory meanings of different types," he ends up by relegating the idea of 'blend' into the background and by establishing the primacy

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1 Practical Criticism, p. 186.
2 Ibid., p. 187.

of feeling, tone, and intention in poetry.

2.2.8 Moreover, what Richards calls 'tone' will perhaps be included within the level of 'context' in Firthian terms. Richards says, "the speaker has ordinarily an attitude to his listener. He chooses or arranges his words differently as his audience varies, in automatic or deliberate recognition of his relation to them." Similarly, "A man writing a scientific treatise, for example, will put the sense of what he has to say first, he will subordinate his feelings about his subject or about other views upon it and be careful not to let them interfere to distort his argument or to suggest bias. His tone will be settled for him by academic convention." The above statement shows Richards' awareness of the problem of 'tone' in communication, but the way it has been included among the four 'functions' of language is very confusing. How far the poet's awareness of 'those he is addressing' is an active and determining level of poetic meaning is debatable. It will be absurd to assume that every time the poet puts his pen to paper he has a clearly defined view of the audience he is going to address. In most literary works, particularly in drama, dramatic poetry (in Browning, Pound, and Eliot, for instance) and fiction in general, the speaker-hearer matrix of communication situation is intercepted and dislocated by an intervening stratum of persona and fictional context where the notion of 'tone' (in the sense of the speaker's attitude to the listener) as proposed by Richards becomes inadequate.

2.2.9 Thus, reduced to its essentials Richards' view on language can hardly be sustained as 'a theory of language' much less a tenable one. His views on language functions are marred by his unholy fascination for dichotomous and rigid distinctions. The ad absurdum of such an approach to poetic language is Science and Poetry, where poetry is neatly classed as an antithesis of Science. One merely wonders if this kind of 'theoretical formulation' helps to make the verbal organization of poetry accessible to those who are uninitiated to it. This, as we shall examine in the third and pedagogical part of this work, is a severe limitation in the approach to the teaching of literature which Richards's work has inspired. Richards' works regularly and consistently emphasize the fact that 1. Poetry is independent of what it actually says; 2. Insistence upon a correspondence between statements in poetry and the facts to which they refer is futile, and 3. In poetry sense is almost always subordinated to feeling and tone. Without overstating the case for Richards the linguist, in all fairness it must be said that although he has not solved many problems he certainly has raised a number of these questions which have been at the centre of controversy for nearly forty years among the critics and students of literature in the English-speaking world.

2.3. Empson:

2.3.1 Everyone who writes about Empson writes about his discipleship to Richards as well as about the brilliance and subtlety of his verbal analysis, which, it is believed

by historians of modern literary criticism,[1] derives from the cogency and adequacy of Richards' theory. No one has, however, shown what precisely is the nature of the carry-over either in terms of theoretical underpinning or in terms of methodology of verbal analysis. For one thing, the method qua method was inspired, not by Richards' analyses in Principles of Literary Criticism and Practical Criticism which are few and far between, but by the analysis of Shakespeare's 129th Sonnet done in collaboration by Robert Graves and Laura Riding in A Survey of Modernist Poetry (1927)—a book which, in any case, came out two years earlier than Richards' Practical Criticism. Neither in Principles nor in Science and Poetry has Richards done any stretch of verbal analysis of any poem or poet. Thus on the side of method or practice what Empson owes to Richards is far from observable in the master's writings, which leads one to suspect that the transmission may have been an assumed one in the master-disciple relationship. On the theoretical side, however, the relationship between Richards and Empson is rich and intricate. Once again it is much more indirect than is usually assumed. Richards has very little to say on 'ambiguity' as a feature of the language of poetry in the three key works. In Principles the chapter called 'Judgement and Divergent Readings' begins with a characteristic 'either/or' approach to ambiguity in poetry: "Ambiguity in a poem, as with any other communication, may

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1 See W.K. Wimsatt and C. Brooks, Literary Criticism: A Short History (New York: 1957), Chapter 28.

be the fault of the poet or of the reader."[1] This alone shows that Richards' approach to ambiguity in poetry is in terms of traditional rhetoric. Ambiguity, in any case, is a fault, no matter whether it is the poet or the reader who is to take the blame. Ambiguity is a blemish of the poet, because it is due to the imprecision of his feeling; ambiguity is a fault of the reader, because it is due to the erratic way of his reading. Of the two Richards was obviously more fascinated by the latter than by the former. 'Divergent readings' is a problem of communication, or more precisely, of judgement. After all, 'improvement in communication' is, to Richards, 'the one and only goal of all critical endeavours.'[2] As a problem of communication, and hence of criticism, Richards is more fascinated by 'divergent readings' than by 'the fault of the poet.' A fault is simply a fault on the part of the poet.

2.3.2 From Richards' 'fault-of-the-poet' approach to ambiguity to Empson's Seven Types of Ambiguity it is a far cry. By the time one comes to read the conclusion of Seven Types of Ambiguity ambiguity becomes, not only a specific feature of poetic language in the instances of great poets Empson has chosen and discussed, but also a general inherent feature of all great poetry with Shakespeare emerging as a supreme poet of ambiguity. If Empson owes anything to Richards in this instance it is obviously not to Richards' superficial remarks on ambiguity as such. The indebtedness

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1 Richards, Principles, p. 162.
2 Richards, Practical Criticism, p. 11.

is much more basic and subtle. In Richards' theory 'the ground-plan' of great poetry is an inclusive "equilibrium of opposed impulses" or "the extraordinarily heterogeneity of distinguishable impulses." As a device of maintaining "the equilibrium" irony is constantly a characteristic of such poetry. This ground-plan is the basis of many derived and adapted terminology of modern literary criticism as practised by the Scrutiny-critics in Britain and 'the New Critics' in America. Leavis's 'ironic juxtaposition' ('Prufrock', Swift, Forster), maturity, realization (Lawrence, James, Dickens), Tate's 'tension', Cleanth Brooks' 'paradox as the language of poetry', and various studies on the 'wit' in Metaphysical poets and the eighteenth-century poetry--all derive their initial inspiration from these early formulations of Richards. No one has drawn upon these formulations with less fuss and more substantial benefit than Empson.

2.3.3 Empson's status as a theoretical critic is not so well-defined because his theory is so much a non-detachable part of his practice and method. Unlike the American New Critics, Empson does not 'break his heart over ultimate questions of criticism.' Empson goes directly to the evidence of actual poems, and his own pronouncements are of an analyst in action. Except for the first and last chapters of Seven Types he has nearly always some poet or poem in hand to deal with. Of his three works Some Versions of Pastoral is not relevant for our purpose. Empson comes back to verbal analysis of a much more detailed nature in The Structure of Complex Words (1951). Prior to the

publication of this book there is a great deal of truth in Stanley Edgar Hyman's saying:

> The simplest way to define the progress of William Empson's criticism is to say that it has moved from a primary concern with what John Crowe Ransom calls "texture" to a primary concern with what Ransom calls "structure".[1]

In other words, Empson's concern in Seven Types is with verbal items and details; with parts in relation to other parts rather than with the whole work. In Some Versions of Pastoral his concern is not with verbal detail or details but with the genre of the work as a whole. However, the motivation in both is identical in that both are attempts at classification: in Seven Types the classification is of the verbal details of a common species; in Some Versions of Pastoral the classification is of the several versions of a common genre. The Structure of Complex Words is an attempt to reconcile the claims of the two concerns. The structure of a work is approached through certain key words like 'Wit' in Essay on Criticism, 'Sense' in The Prelude, 'Honest' in Othello etc. In this respect, Empson's analyses in The Structure of Complex Words are very like Leo Spitzer's use of verbal and stylistic analyses for intuitive interpretation of literary structures. His method apart, in both the books, Seven Types of Ambiguity and The Structure of Complex Words, Empson makes a number of statements and formulations of theoretical nature which deserve to be closely scrutinized. This, in fact, is what concerns

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1 Stanley Edgar Hyman, The Armed Vision, p. 272.

us here: the cogency and explicitness of Empson's statements on language or on the language of poetry. This is a necessary step to any proper assessment of verbal analysis, close reading, Practical Criticism or the New Criticism--all of them being different labels for the same phenomenon in modern criticism. Elder Olson, a 'Chicago' critic, says:

> Where he (Empson) is mentioned, it (verbal analysis) is mentioned, and where it is, he is. Nor is this extraordinary; in certain respects it can be said that he produced it, and it, him.[1]

Richards saw the ground-plan of all great poetry as an inclusive "equilibrium of opposed impulses," and if he was not more specific about "the extraordinarily heterogeneity of distinguishable impulses" it was because "we do not yet know enough about the central nervous system." The complexity of great poetry was in the reader's mind, not in the linguistic structure of the poem. Empson's achievement is in the fact that he takes the idea of complexity and shifts the whole focus from the central nervous system, from the unobservable equilibrium of impulses, to the observable linguistic texture and the surface of the poem. Thus Richards' extraordinarily heterogeneity of distinguishable impulses becomes Empson's extraordinarily heterogeneity of distinguishable meanings, or "alternative reactions to the same piece of language." The focus has shifted from the world of impulses to the world of words and meanings--from what Richards himself would have called

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1 Elder Olson, "William Empson: Contemporary Criticism and Poetic Diction," Critics and Criticism, ed. R.S. Crane, Abridged ed. (Chicago: 1952), p. 24.

'the critical remarks' to 'the technical remarks.' What Empson has done with Richards' views is to make them stand on their feet firmly in the world of the observable facts. Also as a writer who claims to have been working "on the borderland of linguistics and literary criticism" Empson's work is a test case for the linguist to see if 'linguistic' stylistics has anything better to offer.

2.3.4 In the Preface to the Second Edition of Seven Types of Ambiguity (1947) Empson says that "the method of verbal analysis is of course the main point of the book."[1] "As for the truth of the theory which was to be stated in an irritating manner," Empson writes in the same Preface, "I claimed at the start that I would use the term 'ambiguity' to mean anything I liked, and repeatedly told the reader that the distinction between the Seven Types which he was asked to study would not be worth the attention of profounder thinker."[2] There are basically two important problems involved in examining Empson's work on ambiguity in the language of poetry. The first is the problem of finding out what, in precise and explicit sense, he means by 'ambiguity'. This is the problem of deciding the status of terms like 'ambiguity' in the theory of literary description. The second problem is the problem of maintaining distinction among various types of ambiguity and the validity, if any, of such distinctions in categorical terms. The problems are complicated by the fact that Empson is not an ideal critic in matters of precise, exact and committed

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1 Empson, Seven Types of Ambiguity, p. viii.
2 Ibid.

definition. As literary critics go he considers such committedness to definitions a waste of time. Thus in the Second Edition of Seven Types he has "tried to clear the text of the gratuitous puzzles of definition and draw attention to the real ones."[1] Not that he completely eschews "the gratuitous puzzles of definition." In the First Edition of Seven Types Empson defines 'ambiguity' as "any piece of language which adds some nuance to the direct statement of prose." Then he found out that "this, as was pointed out, begs a philosophical question and stretches the term 'ambiguity' so far that it becomes meaningless."[2] In the Second Edition of the book the definition is rephrased as "any verbal nuance, however slight, which gives room for alternative reactions to the same piece of language." However, in a footnote Empson adds, "The new phrase is not meant to be decisive but to avoid confusing the reader; naturally the question of what would be the best definition of 'ambiguity'...crops up all through the book."[3] In Empson's metalinguistic formulations there is a strong unwillingness to stand by them so that the degree of his commitment to his own formulation is nearly always indeterminate. The characteristic mode of Empson's statements is represented by the ones like "I claimed at the start that I would use the term 'ambiguity' to mean anything I liked." This gives him a lot of elbow-room to manoeuvre and stretch his statements on the nature and types of ambiguity, but it

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1 Seven Types, p. viii.
2 Ibid., p. 1.
3 Ibid.

does not make things easy for anyone else. In what way his analysis of ambiguity differs from much more elaborate definitions and categorization of traditional rhetoric is not clear. Empson writes:

> Thus a word may have several distinct meanings; several meanings connected with one another; several meanings which need one another to complete their meaning; or several meanings which unite together so that the word means one relation or one process. This is a scale which might be followed continuously. "Ambiguity" itself means an indecision as to what you mean, an intention to mean several things, or probability that one or other or both of two things has been meant, and the fact that a statement has several meanings.[1]

In terms of this quote 'ambiguity' becomes a multifarious phenomenon of language. In order to come to grips with it Empson feels the need to classify and categorize it into distinct 'types'. Although Empson says, "I am not sure that I have been approaching this matter with an adequate skeleton of metaphysics,"[2] the framework of course is there. For the classificatory purpose Empson sees "three possible scales or dimensions, that seem of reliable importance, along which ambiguities may be spread out: the degree of logical or grammatical disorder, the degree to which the apprehension of the ambiguity must be conscious, and the degree of psychological complexity concerned...My seven types, so far as they are not merely a convenient framework, are intended as stages of advancing logical disorder."[3]

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1 Seven Types, p. 5.
2 Ibid., p. 238.
3 Ibid., p. 48. Empson's criterion of "advancing logical disorder" is closely connected with Richards's "emotive use" as an antithesis of "the referential use" of language so that by interlinking the two one gets two extreme poles of language use: scientific prose ⟷ ambiguous poetry (e.g. the work of French Surrealists and Dadaists.)

Thus Empson proposes "to consider a series of definite and detachable ambiguities, in which several large and crude meanings can be separated out, and to arrange them in order of increasing distance from simple statement and logical exposition."[1] On this account Empson has set before him two tasks 1. to identify several large and crude meanings or a series of definite and detachable ambiguities, and 2. to classify them in terms of complexity and illogicality. Without going into the details of classification one thing that emerges at once from Empson's work on ambiguity in poetry is that he finds it in poetry not as a local but as a global feature of its language. At one place Empson makes a very formal claim, saying "the machinations of ambiguity are among the very roots of poetry."[2] At another place he says:

> Two statements are made as if they were interconnected, and the reader is forced to consider their relations for himself. The reason why these facts should have been selected for a poem is left for him to invent; he will invent a variety of reasons and order them in his own mind. This, I think, is the essential fact about the poetical use of language.[3]

Thus in Empsonian terms all discussion of the language of poetry becomes a process of "inventing reasons," or more appropriately discovering "meanings." The job of the verbal analyst is to excavate buried meanings ('detachable ambiguities') and catalogue and classify them according to a descending scale of logicality. Not infrequently this quest for "several large and crude meanings" becomes

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1 Seven Types, p. 7.
2 Ibid., p. 3.
3 Ibid., p. 25.

inconsequential 'wrenching of a text'. An example of taking the semantic archaeology to ad absurdum is Empson's analysis of Macbeth's famous speech, "If it were done, etc." Empson asks us to believe "that Macbeth, trembling on the brink of murder, and restrained only by his fears of what may follow, is babbling of bird-nets, pothooks, levers, trolleys, assessments, lawsuits, and what not; and all this on the shadowy grounds that the OED, or whatever dictionary, lists alternative meanings for 'trammel,' 'surcease,' and 'assassination,' and that poetic language is ambiguous."[1] In an operation like this the presence of Oxford English Dictionary, with its historical listing of alternative meanings of words, becomes unavoidable. Empson uses it as an implement just as convenient as the various editions of Shakespeare's plays and sonnets. Reviewing Empson's Seven Types for The Criterion (July, 1931) James Smith makes two interesting points about Empson's theory and practice:

> There are a number of irrelevancies in Mr. Empson's book, and as in a measure they derive from, so probably in a measure they increase, his vagueness as to the nature and scope of ambiguity. Finding this everywhere in the drama, in our social experience, in the fabric of our minds, he is led to assume it must be discoverable everywhere in great poetry.... ...Quite a number of Mr. Empson's analyses do not seem to have any properly critical conclusion; they are interesting only as revelations of the poet's, or of Mr. Empson's ingenious mind. Further, some of Mr. Empson's analyses deal, not with words and sentences, but with conflicts supposed to have raged within the author when he wrote. Here, it seems to me, he has very probably left poetry completely behind.[2]

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1 Elder Olson "William Empson, Contemporary Criticism, and Poetic Diction," p. 28.

2 James Smith, Review of Seven Types of Ambiguity, The Criterion, July, 1931, Quoted by Empson in his Preface to the Second Edition of Seven Types, p. xii.

The transition from analysis of particular stretch of text to general observation on the nature of poetic language is very deceptive in Empson, and he has a habit of relegating important theoretical issues to slippery footnotes. In the last chapter of Seven Types Empson makes a significant distinction--a distinction which he claims to be 'theoretical'--between "forces known to be at work in the poet's mind" and "the verbal details." Then he goes on about the distinction:

> ... ...people are accustomed to judge automatically the forces that hold together a variety of ideas; they feel they know about the forces if they have analysed the ideas; many forces, indeed, are covertly included within ideas; and so of the two elements, each of which defines the other, it is much easier to find words for the ideas than for the forces. Most of the ambiguities I have considered seem to me beautiful; I consider, then, that I have shown by example, in showing the nature of the ambiguity, the nature of the forces which are adequate to hold it together. It would seem very artificial to do it the other way round, and very tedious to do both ways at once.[1]

Here Empson takes two major theoretically dubious strides--both in separate directions. The first stride is from the ambiguous to the beautiful, from the grammatical-semantic observation to the aesthetic judgement. The second one is from the observable linguistic facts (ambiguity) to the unobservable "nature of the forces which are adequate to hold it together." His initial 'theoretical' distinction between the two loses its 'purity.' In Empson's own words, he "was claiming here a purity...[he]...had failed to attain."[2] The distinction becomes completely irrelevant when Empson goes on to establish an almost direct algebraic

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1 Seven Types, pp. 234-235.
2 Ibid., p. 235n.

relation between the two:

> But by discussing ambiguity, a great deal may be made clear about them (i.e., the forces known to be at work in the poet's mind). In particular, if there is contradiction, it must imply tension; the more prominent the contradiction, the greater the tension; in some way other than by the contradiction, the tension must be conveyed, and must be sustained.[1]

Empson's attempt to show a direct connection between 'ambiguity' and 'beauty' on the one hand, and between verbal ambiguity in the poem and psychological tension in the poet's mind begs a host of theoretical and procedural questions. It is the nature of the connection which is never explained anywhere in the whole work, and one wonders how such connection can ever be established without taking the mutual frontiers of psychology, aesthetics, and semantics for granted. To say, as Empson does, that "if there is contradiction (i.e., in the meaning relationships in the poem) there must be tension (i.e., in the mind of the poet)" is to build merely an imaginary relationship of cause-and-effect between the poet's mind and the language of poetry. On Empson's own account semantic or verbal analysis becomes a form of psychoanalysis, and reading poetry an excursion into depth psychology, taking "alternative reactions to the same piece of language" as one's initial clue. This may sound as if Empson's statements are being stretched a little too far. Empson's own Preface to the Second Edition of Seven Types dispels all such doubts. For in the Preface he writes,

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1 Seven Types, p. 235.

> The method of verbal analysis is of course the main point of the book, but there were two cross-currents in my mind leading me away from it. (Of the two) The second cross-current was the impact of Freud... ... However, I want now to express my regret that the topical interest of Freud distracted me from giving adequate representation in the seventh chapter to the poetry of straightforward mental conflict, perhaps not the best kind of poetry, but one in which our own age has been very rich.[1]

Thus Empson's method of verbal analysis is based on a loose framework of ideas which are defined, when they are, in an extremely casual fashion. It looks as though these ideas are self-evident to all Empson's readers. Although his method focuses the reader's attention on the language of poetry he starts with certain set ideas, e.g., the possibility of alternative reactions to the same piece of language. Very often cataloguing several alternative reactions to the same piece of language becomes a preconceived purpose of verbal analysis. Empson begins it, not with the question "What is the meaning of X?", but with the question "How many alternative meanings can one read in X?" It is only when Empson takes the leap from the text to the mind of the poet, one realizes that at the back of the analyses not only Richards but also Freud was quietly watching his ideas in action. This, however, does not completely invalidate Empson's acute insights into the language of poetry. The central insight, as Fowler and Mercer put it, is that "the language of poetry is language" and that "scrutinizing language, Empson discovers the heart of poetic structure in the potentiality for richness of semantic organization

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1 Seven Types, p. viii.

natural in the polysemy of all words."[1]

2.3.5 The Structure of Complex Words (1951) is a much less homogenous work than Seven Types of Ambiguity. The book is a compilation of essays written over a period of twenty years--all published separately. Empson's claim in the book to be a writer "on the borderland of linguistics and literary criticism" is valid only in so far as we are willing to take his "linguistic" framework for granted. The framework is a little too bizarre. Most of his theoretical terminology come either from Gustav Stern's Meaning and Change of Meaning or from Ogden and Richards's The Meaning of Meaning, while his specific studies and instances derive either from his wide reading of English literature or from the citations of Oxford English Dictionary. The central preoccupation of the essays is with the lexis--the semantic complexity, richness and multiple-meaning of "complex words." There are two kinds of essays and studies in the book. The first group is of general studies on 'Feeling in Words,' 'Statements in Words,' (both written in disagreement with Richards's views on the language of poetry). The essays on 'Metaphor,' 'The Primitive Mind,' 'Dictionaries,' and other essays with fanciful titles as 'Pregnancy,' 'Mesopotamia' etc., can also be included in this group, because what characterises all these studies is the semantics of 'complex words' studied in the general framework of etymology, lexicography and the current theories of metaphor and meaning. The second group of studies is concerned with the semantic

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1 Fowler and Mercer, in Fowler, p. 112.

structure of particular 'complex words' within the framework of some specific work (e.g., 'Wit' in the Essay on Criticism, 'Sense' in The Prelude, 'Honest' in Othello). In the essays of the second group Empson tries to come to grips with each specific work through the avenue of the semantic network of a particular complex word as 'All' in Paradise Lost. Thus the procedure is to link verbal texture with semantic structure by means of a single multiple-meaning word. In a sense the approach is much more integrated one than the verbal analysis in Seven Types, because Empson is here concerned with the place of complex words in the structure of the work as an interrelated and meaningful whole: the approach is much less atomistic. This, in fact, is the central enigmatic feature of Empson's work in the Structure of Complex Words. Empson's lexicographical view of language is in direct variance with his own practice in verbal analysis. The enigma is in the fact that the lexicon defines each word in isolation as a bundle of semantic features, while in practice Empson is concerned with the place of each complex word in the semantic context of a specific literary work. The lexicon defines the complex word as a part of the code; Empson analyzes the complex word as a part of the message in terms of the meanings of the word in the code. In the theoretical chapters his view of language is close to the one which equates language with an authoritatively recorded history of usage and meanings; it is the lexicographer's view of language--each word with its history, recorded in the evolution of its usage and meaning. To this one has only to

add Empson's fascination for polysemy of all words and his breadth of reading in English literature to get to studies like the following on 'The English Dog' (Chapter 7):

> From the sixteenth to the eighteenth centuries a number of English words, arch, rouge, fool, honest, dog and so forth, went through a cycle of curious slang or "emotive" uses that invoke patronage, irony and sympathy, and though we still give them slang uses we keep on the whole to the last stage of the cycle.[1]

Such analyses of what Empson chose to call 'pregnancy' of words apart, The Structure of Complex Words, as a theoretical statement on the language of poetry, assumes a much less rigid, categorical and inflexible stand than Richards' or Empson's own in Seven Types. In fact, the first two chapters, 'Feelings in Words,' and 'Statements in Words' were written to disagree with Richards' emotive use theory, which "would make most literary criticism irrelevant, let alone the sort of verbal analysis that interested [him]." Richards' theory appears to dismiss all poetry as not strictly significant as statement of ideas, and hence there would have been no point in reasoning about it. Empson's main argument in these chapters can be summed up in his own words:

> It seems to me that a flat separation of Sense from Emotion would be merely a misreading here... ...One needs more elaborate machinery to disentangle the Emotive from the Cognitive part of poetical language. Such at least is my excuse for offering my own bits of machinery.[2]

Then Empson puts forward his "little bits of machinery" to help us out of this confusion. "The main thing needed,"

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1 Empson, The Structure of Complex Words, p. 158.
2 Ibid., p. 7.

says Empson, "is to give symbols of their own to some elements often called 'feelings' in a word, which are not Emotions or necessarily connected with emotions." A great deal of attention and effort is then devoted to a personal symbolism---a system of signs to disentangle the Emotive from the Cognitive part of language---which, in itself, is of little interest and less value outside the book itself.

2.4. Conclusion

2.4.1 In our attempt to investigate the nature of the theory of literary criticism we set before us the task of assessing it as a second-degree metalanguage and of finding out if it was akin to "armchair linguistics." As specimens for study we chose the works of Dr. I.A. Richards and William Empson, because between the two of them they had one of the most far-reaching influences on contemporary criticism as well as on the pedagogy of literature over the last forty-five years. Our investigation was focussed primarily on their views on the language of literature in general and on the language of poetry in particular. In attempting to get to certain basic concepts, certain undefined terms in their work which, in turn, have inspired a considerable body of literary criticism and analysis, what one really succeeds in having a grip of is, in the end, remarkably little. As far as the work of Richards is concerned his most outstanding feat is to formulate a unified theory of value. The theory is unified in the sense that it does not accept any discontinuity between non-aesthetic and aesthetic experience, and in Richards's theory of value there is no place for aesthetics

as such. In place of traditional aesthetics, poetics, rhetoric and ethics, Richards draws upon

1. Speculative Psychology, and
2. Utilitarian Philosophy

and his theory of value may be said to be a working compromise between the two. As a theory it has remarkably little to say on the language of poetry except in terms of binary antitheses, in terms of what Empson calls "flat separations": science versus poetry, referential versus emotive use of language. We do not have much to do with Richards's theory of value except as a framework. We are interested in Richards's work as a source of ideas and in their theoretical components. Richards draws heavily upon notions such as impulse, attitude, sensation, emotion, experience etc., on the one hand, and unit, balance, reconciliation, heterogeneity, inclusion, exclusion, inhibition and repression, on the other. However, when one comes to his views on the poem as a verbal structure he postulates the poem as a stimulus and the experience of reading it as a response. Where we find difficulty in the theory is in its relegation of the artefact to secondary significance and the primary importance to the experience of the artefact. In other words, in Richardsian theory the poem is in the mind of the reader, not on the page, and behaviourism makes a backdoor entry (just as utilitarianism does) through the edifice of psychology. It is because of the mystique of experience that Richards may be said to have ultimately reduced the theory of value to a side-issue of mental hygiene.

2.4.2 The important theme to which Richards comes back again and again in all three works of his is the nature of poetic language. As we saw, Richards defines it in three different ways: 1) in terms of use (language used non-referentially); 2. in terms of consequence (language which arouses attitudes); 3) in terms of the reader-response (language which requires special form of comprehension and interpretation). The language of poetry is constantly being juxtaposed against "certified scientific statements." Richards is almost always more interested in the extrinsics, such as the truth-value or otherwise, the attitudes poetry arouses, than in the intrinsic linguistic properties of the language of poetry. He conceives of it mainly in terms of a dichotomous distinction: science versus poetry; idea versus attitude, verfiable versus non-verfiable, and so on. While Principles of Literary Criticism and Science and Poetry elaborate the first two features of the language of poetry, it is Practical Criticism which seeks to exhaust the analysis of the language of poetry in terms of the reader-response. His study of literary judgement under simulated laboratory conditions was essentially a study of the nature of poetic language in terms of the reader-response and numerous hurdles in its comprehension as a stimulus. The naiveties of a dichotomous distinction, made so much of in Principles and Science and Poetry, are refined in terms of four kinds of meaning: sense, corresponding to the notional content of poetic communication, 'feeling' to the emotional content, while 'tone' and 'intention' may be said to be further

refinements of the notion of 'emotive use of language.' Although Richards starts with the assumption that the 'total meaning' we are engaged with at any time is "almost always a blend, a combination of several contributory meanings of different types," he ends up by relegating the idea of 'blend' into the background and by establishing the primacy of feeling, tone and intention in poetry. One foreseeable consequence of Richards' theory is, thus, to dismiss all poetry as not strictly relevant as statement of ideas, and hence--if one were to take Richards's views seriously--there would have been no point in reasoning about poetry or ideas in poetry. As Empson puts it, "a flat separation of sense from emotion would be merely a misreading here."[1]

2.4.3 One reaction to Richards's flat separations is Empson's own work; another is Richards's interest in the role of ideas-in-poetry in shaping the reader's response to the poem. Because of his neat opposition of science and poetry, idea and attitude, Richards is obliged to consider poetry as a type of "pseudo-statement"--i.e., as a type of statement which has no reference value as such. In Principles of Literary Criticism and Science and Poetry Richards was satisfied with this position: as a statement of ideas poetry does not deserve to be taken seriously because the poet is making a pseudo-statement in saying what he does at any time. Richards's investigation of the reader-response in Practical Criticism showed him that ideas in poetry could become a serious problem of communication. He studies this under the

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1 William Empson, The Structure of Complex Words, p. 7.

heading "doctrinal adhesions." The doctrinal adhesions of Richards's readers seem to have a crucial role in shaping their response to the poems. To put it differently, the ideas-in-the-poem are not regarded by Richards's readers as "pseudo-statements." On the contrary, both the readers' beliefs, and the poet's beliefs as embodied in the poem seem to matter a great deal in the reading of poetry. One of the most consequential impacts of Richards's work is to bring this problem (i.e., the problem of belief in poetry) to the surface of literary criticism, both as theory and practice. Between Richards and Eliot the complex relation between ideas and ideas-in-poetry is given a detailed consideration. The problem has since preoccupied several minds in contemporary criticism again and again. But Richards's statement of the problem in Principles and Science and Poetry is, perhaps, the sharpest initial formulation of the problem. The formulation develops into a much more supple debate through documentation in Practical Criticism. In the latter work, what was merely a "pseudo-statement" earlier in Principles and Science and Poetry, becomes the problem of communication. It becomes a problem of reading poetry without "doctrinal adhesions." At the time of writing Practical Criticism Richards's position was typically Coleridgean: it was the position of Coleridge who recommended "a willing suspension of disbelief" as a sedative to poetry-readers. Richards echoes it when he writes:

> The question of belief and disbelief, in the intellectual sense, never arises when we are reading well. If unfortunately it does arise, either through

> the poet's fault or our own, we have for the moment ceased to be reading and have become astronomers, or theologians, or moralists, persons engaged in quite a different type of activity.[1]

Richards's own documentary evidence as well as literary criticism in practice from Aristotle downwards, shows that the reading and judgement of poetry has always been influenced by the reading and judgement of the ideas-in-poetry. If ever poetry has benefited from any theorizing it may not have done so from a change of the heart since Richards wrote the above lines. But that need not confuse the role of Richards's work in bringing the issue to the surface of the literary debate. The fact is: are we, in practice, willing to suspend our belief or disbelief while reading poetry?

2.4.4 Speculative psychology, a disguised form of behaviourism and utilitarian philosophy all conspired to make Richards conceive of poetry as an experience to be evaluated in quantitative utilitarian terms, i.e., in terms of the 'units' of impulses in equilibrium and extra-ordinarily heterogeneity of distinguishable impulses. For the lack of any further precision in the theory Richards offers the rudimentary stage of our knowledge about "the central nervous system" as an explanation. It is at this stage that Empson may be said to have taken over from Richards. Richards's "extraordinarily [Sic] heterogeneity of distinguishable impulses" becomes, in the hands of the more linguistically-oriented disciple, "heterogeneity of distinguishable meanings." The point is not that speculative

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1 I.A. Richards, Practical Criticism, p. 277.

psychology is replaced by speculative semantics. It is the very focus of the theory that may be said to have shifted from the unobservable world of impulses to the observable world--at least in terms of the great Oxford English Dictionary--of meanings. Initially Empson approaches the notion of ambiguity in terms of "alternative reaction to the same piece of language." The psychological balance and inclusiveness is taken over by a semantic balance and inclusiveness. But the notion of ambiguity stays an intuitive one, because Empson considers any further explicitness a waste of time. He even warns his readers that "I would use the term 'ambiguity' to mean anything I liked." Yet paradoxically Empson's approach to ambiguity is primarily classificatory and descriptive in the sense in which traditional rhetoric may be said to be classificatory and descriptive. He offers to classify ambiguity in terms of the following three dimensions: 1) the degree of logical or grammatical disorder; 2) the degree of conscious analysability, and 3) the degree of psychological complexity. Yet in relation to the key notion of ambiguity itself Empson eschewed the "gratuitous puzzles of definition." Without such gratuitous puzzles of definition the seven types into which he classified verbal ambiguity hopelessly overlap. If the classification is "not worth the attention of profounder thinker"[1] Empson is engaged in an ultimately vacuous exercise. Because of idiosyncracies in his metalinguistic formulations there is a strong unwillingness on his part to stand by them so that the degree of his

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1 Empson, Seven Types of Ambiguity, p. vii.

theoretical commitment to his own formulation is nearly always indeterminate. Literary critics, on the other hand, complain that quite a number of Empson's analyses do not seem to have any properly critical conclusion: "they are interesting only as revelations of the poet's, or of Mr Empson's ingenious mind."[1] It is not just as a theoretical notion that Empson's statements on ambiguity are inexplicit; it is also as a repertoire of analytical procedures that Empson's work on verbal analysis is inexplicit. Empson takes up the work of verbal excavation with great elan, and in analysis after analysis, "like a juggler with his hat"--as Richards puts it, Empson unearths grammatical, logical, semantic and psychological tension, contradiction, gaps, interrelationships.

2.4.5 So far so good; and the notion of ambiguity may seem a harmless piece of theorizing, but Empson decides to go far afield and declares,

> Most of the ambiguities I have considered seem to me beautiful; I consider, then, that I have shown by example, in showing the nature of the ambiguity, the nature of the forces which are adequate to hold it together.[2]

Here Empson takes a long stride--the stride from the grammatical-semantic observation to the aesthetic judgement for which the readers were not warned. Later Empson goes on to say that "if there is contradiction (i.e., in the meaning relationships) there must be tension (i.e., in the mind of the poet)."[3]

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1 James Smith, The Criterion, July, 1931. Quoted by Empson in Preface to the Second Edition of Seven Types, p. xii.
2 Empson, Seven Types, p. 235.
3 Ibid., p. 235.

As we saw earlier, this is to build an imaginary cause-and-effect relationship between the language of the poem and the mind of the poet. Under such procedural tutelage verbal analysis is likely to be an excursion into depth psychology. As a procedure Empson does not ask "What is the meaning of X?" but "How many alternative meanings can one read in X?" This is an *a priori* assumption behind Empson's analysis, and as an assumption it is dubious, not because it is *a priori*, but because it diverts the analyst's attention from the communicative *structure* of the message by concentrating entirely upon the polysemy of the code. Empson atomizes the structure of the message in order to see if each separate component has the possibility of eliciting alternative reactions. One consequence of this model of verbal analysis is the promotion of poetic complexity as a stylistic virtue in itself so that when a simple Lucy poem of Wordsworth such as *She Dwelt Among the Untrodden Ways* was analyzed by Cleanth Brooks[1] he discovered it to be full of paradoxes: if Lucy dwells somewhere accessible, the ways leading up to it cannot be *untrodden*, and how did Lucy get there in the first place? and so on. Empson has given modern literary criticism a set of terminology and procedures which when examined as a metalanguage, is found to be vague, slippery, evasive and ultimately idiosyncratic. In retrospect, Empson's appears to be a mind which seeks delight in exercising it in analyzing language: it may have been that under the distraction of the "topical interest of Freud" he went far

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1 Cleanth Brooks, *The Well-Wrought Urn: Studies in the Structure of Poetry* (London: Dobson, 1949).

afield and established ungainly connections outside of language, but in language what fascinated him was the rich potentiality underlying the polysemy of all words. No wonder that he chose atomization of verbal structure as his main tool and classification of ambiguity as his main task.

Chapter III

Literary Approaches to Stylistic Analysis: Practice

3.0. Introduction

3.0.1 The purpose of this chapter is to investigate the nature of literary approaches to stylistic analysis. This involves a detailed examination of literary criticism as an analytical tool. The notion of 'degrees of language' is the basic framework adopted in this work, and it is as a first-degree metalanguage that we are concerned with literary criticism. The notions of 'degrees of language' and 'metalanguage' have already been discussed in 2.0.2. While investigating the nature of literary approaches to stylistic analysis we are focussing our attention on literary criticism as a metalanguage, i.e., a language used in order to describe a language phenomenon or a text. In its direct involvement in the description, analysis, interpretation and evaluation of literary texts, literary criticism is a species of first-degree metalanguage, i.e., it is at the first remove from the language events it purports to describe, analyze, interpret and ultimately evaluate. However, another way of looking at literary criticism is to place it in relation, not with the literary texts, but with the theory of literary criticism. From this point of view, literary approaches to stylistic analysis are equally involved in the theory of criticism as they are involved in the literary texts. As a first-degree metalanguage its domain is the literary texts, but in approaching these texts literary criticism draws upon the theory of literary criticism and evaluation. In its evaluative function, literary criticism draws upon a set of concepts, criteria,

and values which belong to the theory of literary criticism, i.e., the second-degree metalanguage—a language at the second remove from the ordinary literary texts. What this means is that we need to approach literary criticism as an inter-level, as a level of mediation between the theory of literary criticism and the literary texts. While both literary texts and literary theory can exist without having anything to do with literary approaches to stylistic analysis, the latter cannot exist as an "autotelic" activity[1] without the theory to draw upon or the texts to evaluate. In investigating literary approaches to stylistic analysis we will be analyzing the nature of the dependency of literary criticism upon the theory of criticism on the one hand, and the nature of its efficiency as a tool of analyzing the literary texts, on the other. In brief, we would be examining its nature and function as a first-degree meta-language.

3.0.2 In this work the terms 'literary criticism' and 'literary approaches to stylistic analysis' are being used in free variation, and this might need some explanation. A number of terms relating to the study of style, literary style, literary texts, poetic structure, language variation or simply register-analysis are in use in contemporary linguistics, and some of these terms such as stylistics, stylistic analysis, general stylistics, linguistic stylistics, literary stylistics etc., are being used in the literature

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1 T.S. Eliot, "The Function of Criticism," in Selected Essays (London: Faber, 1932), p. 24.

without explicit definition. In this work an attempt will be made to define and delimit these terms, and in Chapter IV a basic distinction will be made between general stylistics and literary stylistics. Here, the terms 'stylistic analysis' 'literary criticism' and 'literary approach to stylistic analysis' are used interchangeably. The point is that here for the purpose of this work, literary criticism is being considered as a species of stylistic analysis. This need not detract us from the fact that firstly, stylistic analysis can remain an analytical activity without its being either literary or criticism of any kind whatsoever. Secondly, in considering literary criticism as an approach to stylistic analysis the areas where the two activities overlap as well as those where the two do not overlap, will need to be focussed. Finally, the most important of these non-overlapping areas is the area of literary judgement. The crucial questions in a study of literary approaches to stylistic analysis will, therefore, be not only its descriptive adequacy as a meta-language, but also of the sources of its concepts, criteria and values by which it judges the literary texts. No matter whether we conceive of literary criticism in terms of a hierarchy of functions or as a non-hierarchic set of activities, it is comprehensible only as an intermediation between the concepts, criteria and values of literary theory and the specificity of each literary text. Here literary criticism does not differ from stylistic analysis: where it does differ from stylistic analysis is in that

while the nature of relationship between stylistic analysis and linguistic theory or general stylistics may be formulated in explicit terms, the relationship between the theory of literary criticism and literary criticism in practice is far from explicit. In practice, one does not know what literary criticism draws upon for its judgement of preferences.

3.1. Relationship between Literary Criticism and the Teaching of Literature

3.1.1 C.S. Lewis, literary critic and academic, makes an at once illuminating and incisive statement in his influential monograph, An Experiment in Criticism

> Everyone who sees the work of Honours students in English at a university has noticed with distress their increasing tendency to see books wholly through the spectacles of other books. On every play, poem or novel, they produce the view of some eminent critic. An amazing knowledge of Chaucerian or Shakespearean criticism sometimes co-exists with a very inadequate knowledge of Chaucer or Shakespeare. Less and Less do we meet the individual response. The all-important conjunction (Reader Meets Text) never seems to have been allowed to occur of itself and develop spontaneously. Here, plainly, are young people drenched, dizzied, and bedevilled by criticism to a point at which primary literary experience is no longer possible.[1]

Lewis sees the impossibility of primary literary experience as a phenomenon confined to the one side of the lectern. This may be very true of a native-language situation, say in British or American universities. But this is all the more true of a non-native situation partly because the rarity of primary literary experience--that all-important

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1 C.S. Lewis, An Experiment in Criticism (Cambridge: University Press, 1961), pp. 128-129.

conjunction between the reader and the text is not confined to one side of the lectern alone. The tendency to see books "wholly through the spectacles of other books" is, in the non-native situation, a logical corollary of a kind of the metropolis versus the provincial outpost relationship with the literary culture of the English-speaking countries. Thus, writers write books; critics write books about those books or about books by other critics, and the academics overseas prosper on what George Steiner calls "an eternity of second-hand."[1] The nature of the relationship between the teaching of English literature overseas and the literary criticism published in the metropolis of the English-speaking countries is obvious, but complicated. It is complicated because as a part of the received opinion very few overseas academics have the courage of personal culture and acquaintance to ignore it. In fact, here English literature can rarely be dissociated from what the critics say about English literature: at least in teaching, the delivery of both goods takes place at the same time. Shakespeare rarely arrives unaccompanied either by A.C. Bradley or by G. Wilson Knight. The point is that the teaching of English literature is so often the teaching of what the critics have said about various set texts, authors, periods that literary education in a non-native situation invariably draws, not upon what C.S. Lewis calls the primary literary experience, either the teacher's

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1 George Steiner, Language and Silence (Harmondsworth: Penguin, 1969), p. 229.

or the student's, but upon literary criticism of various species.

3.1.2 The investigation of literary approaches to stylistic analysis gains in perspective and relevance by placing it against the teaching of English literature although the two are entirely different activities. As we have said earlier in this section, the teaching of literature draws invariably upon literary criticism, but it would be an understatement to say that it is only literary criticism upon which the teaching draws. In fact, literary criticism is only one of the major sources upon which an overseas teacher of English literature relies. It is upon the following three disciplines that the teacher of literature is heavily dependent:

1. Literary Criticism, as theory as well as practice
2. Literary History
3. Literary Scholarship, textual as well as exegetical.

It would not, therefore, be out of place to examine briefly the nature of literary history and literary scholarship before going into literary criticism as such. To take literary history first, it is the discipline which is furthest removed from the primary literary experience in that it deals with generalizations across literary texts, imposing designs and patterns in temporal, political, social and intellectual terms. The literary historian is virtually free to set his own limits--the terms of reference as well as the specific details of literary nature which he wishes to select from among masses of literary works and fit the

facts to his framework. Thus, most histories of literature are either social histories or histories of thought as illustrated in literary works arranged in more or less chronological order. Some have gone further and postulated, as M.L. Cazamian did with regard to the "oscillation of the rhythm of the English national mind" between the poles of sentiment and intellect, or in terms of "the laws of action and reaction." Taine's famous triad of race, milieu, and moment has led him to a loose use of an unknown fixed quantity called race. It is often simply the assumed 'national character of the English or the French.' Most literary histories divide their 'periods' according to political changes, such as the death-date of the monarch. Where this is not the practice the divisions are made on the basis of the norms derived from the most diverse activities of the human mind. Is the basis of literary history a concept of change or of development? because development is a uniform progress towards one model and it means something. Each literary text or work is a structure discontinuous with neighbouring texts or works, and in this sense one can, as W.P. Ker does, deny that literature has a history. In writing a literary history the historian is at once assigning an independent life to literary works and denying such a life by offering causal explanation in terms of some other human activity. This is perhaps the fundamental paradox of literary history. The second anomaly is in the fact that when literature is conceived of as having a history i.e., in the sense that a

set of works are seen to be interrelated, not only with each other, but also in terms of some common features interrelated with each other in a temporal scheme, the historian is denying their timelessness. While passing through the minds of readers, critics and historians a literary work is eternally present. This is probably what Eliot meant when he wrote:

> The whole of the literature of Europe from Homer... ... has a simultaneous existence and composes a simultaneous order.[1]

It is only in a trivial sense that a literary text may be said to precede or follow another in time. In brief, therefore, literary history is a process of abstraction and generalization--which all historiography is. Literary history, in particular, is extrinsic to literature, and if it impinges upon the primary literary experience it is as a part of the verbal repertoire of the reader's metalanguage or the critic's that it does so.

3.1.3 Compared with literary history, literary scholarship--at least in the sense being used here--is concerned with the specific rather than the general. Literary scholarship or research can, of course, be about anything pertaining to literature--from biography and authorship-problems to computor analysis of style, but primarily here 'literary scholarship' is being used as a descriptive term for textual, editorial and exegetical works confined to an author, or more often to a single literary

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1 T.S. Eliot, Selected Essays (London: Faber, 1932), p. 14.

text. This is one of the most important sources of sustenance for the teachers of English literature overseas. As a convenient collation of facts and background information, of commentary and exegesis, such 'scholarly editions' of texts (particularly classics) are an indispensable part of the sources upon which literature teaching has to feed. But it needs to be realized that the editors of Shakespeare, the variorum scholars and the compilers of concordances are no substitute for Shakespeare. In C.S. Lewis's terms, the knowledge of Shakespearean scholarship should not co-exist with a very inadequate first-hand experience, the primary experience of reading Shakespeare. Literary scholarship is a means, not an end in itself, and the teaching of literature may become a mere transmission of facts if it veers closer to literary, textual and exegetical scholarship of the sort represented, for example, by the editors of New Shakespeare or the American textual scholarship. The nature of the apparatus will necessarily vary from text to text, but the teaching of literature, over-reliant upon literary scholarship, is likely to be unrewarding in the long run. In drawing upon literary criticism, theory or practice, literary history, and literary scholarship, the teaching of literature in a non-native context leaves the students with a partial competence. Even the best among them are, by the very nature of their training, left dependant on multiply ambiguous areas of human activity and knowledge, such as literary criticism, literary history and literary scholarship. Faced with a

set of completely new or unfamiliar literary texts, or with a play in print or on the stage these students would be bewildered, because there are no literary critics, historians or scholars to tell them what to make out of these unfamiliar phenomena. As we shall be discussing in detail in Part III of this work, the lack of scholarly treatment is one of the reasons why contemporary English literature is seldom taught overseas. The reason for prescribing Hardy or Maugham, instead of John Braine, Angus Wilson, Harold Pinter or Iris Murdoch, is that the latter have not gone through the process of canonization in terms of literary criticism, literary history and literary scholarship. There is always a big time-lag between contemporary literature and its canonization. But in the meantime, the English language will have changed a great deal so that learning English through Maugham and other linguistically 'dated' classics is inherently an education in quaint idiom and usage. The teaching of literature is non-generative--i.e., in the sense that familiarity with one text does not lead to familiarity with other texts. There is no projection from the seen to the unseen, from the observed and assimilated literary experience to the unobserved and unassimilated. The only continuities in the literary experience are its discontinuities from one experience to another. Secondly, the teaching of literature is 'non-generative' because the appeal one makes to literary criticism, literary history and literary scholarship in the teaching process is never made explicit. The

relationship is always taken for granted; it is always assumed. The metalanguage is the less precise, not only because its terms of reference, the areas from where it draws the basic components of its lexicon are never clearly defined, but mainly because it is never clearly shown how these components are put together to make a literary analysis or evaluation. Operating with this metalanguage, as will be obvious from the sections to follow, is like using a code with variables but no explicitly definable constraints.

3.2. The Nature of Literary Criticism as a First-Degree Metalanguage

3.2.1 Literary criticism may be approached from several points of view. Approaching it as a first-degree metalanguage, among other approaches, reveals some of the fundamental features of literary criticism, i.e., where does literary criticism lead us for its concepts, values and criteria. In discussing the works of Richards and Empson we have already seen where they, in the long run, lead their readers. Richards leads us to a mixture of Jeremy Bentham and Gesalt Psychology; Empson, partly to Richards and partly to positivist semantics of Stern and ultimately to the final repository of philological scholarship--the Oxford English Dictionary. It is a very mixed company, but that happens to be the one they keep. Richards's theory of value, his analysis of literary meaning on the one hand and Empson's approach to ambiguity in poetry and to the structure of complex words, on the other do not support a theory of

literary criticism. But between them they have provided an influential set of ideas and techniques of literary analysis which continue to be taught in schools and universities both in Britain, America and overseas. This time, it is not literary criticism as theory that we need to investigate: it is literary criticism as practice, as functions that we must scrutinize. What does literary criticism do? Eliot, in a memorable essay entitled "The Function of Criticism," wrote that the functions of criticism are twofold: "the elucidation of works of art and the correction of taste,"[1] i.e., interpretation and evaluation of works of literature. However, both presuppose a level of function which might simply be called 'description'. Description is a function of analysis. As a function of analysis the difference between different types of descriptive criticism is merely a matter of "degree of delicacy" of statement. The closer they get down to the details of a specific literary text the more analytical they are likely to be. But the difference between a descriptive statement and an evaluative one is a qualitative one in that in making an evaluative statement, both concepts as well as values are involved in the process. Any non-evaluative statement one makes about a literary text may be said to be its description. Eliot was, therefore, irreproachably right when he made the basic binary distinction between interpretation and evaluation. As functions it is

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1 T.S. Eliot, "The Function of Criticism," Selected Essays (London: Faber, 1932), p. 24.

not always easy to posit a clear and inviolable distinction between description and interpretation on the one hand, and analysis and description on the other. Analysis and description may be regarded as neutral functions, belonging to the procedural side of literary criticism rather than to the core of its function. The neutrality of these functions is presupposed in the process of evaluation. It is, therefore, justifiable to conceive of literary criticism both as a hierarchy of functions as well as a linear sequence of these functions. But the notion of hierarchy of functions implies that the ultimate function of literary criticism is judgement of the value of literary works.

Figure 1

Literary Criticism as Function

Hierarchy	Linear Sequence
Description (A Function of Analysis) Interpretation Evaluation	Description...Interpretation ...Evaluation

A linear but non-sequential notion allows us to visualize literary criticism, as an activity, confined to one of the three functions only--as it does on several occasions. Thus we have descriptive criticism, interpretative criticism and evaluative criticism as typological distinctions based on each of the functions as the raison d'être of the type.

3.2.2 If we take an approach to literary criticism based on the typology of functions we can see the nature of literary criticism as a metalanguage in a clear

perspective because we can isolate the interrelationship between its function and the specific universe of discourse to which it appeals at any point in fulfilling that function. If a literary critic is analyzing the language, imagery, symbolism etc., of a literary text we can ask ourselves: What are the terms of reference that the critic is appealing to in his analysis? Thus, if in fulfilling all the three functions mentioned in 3.2.1 literary criticism can be considered as a species of first-degree metalanguage we would be, in investigating its nature, investigating the nature of all the subsumed relationships with multiple universes of discourse inhabited by undefined concepts, values, and criteria. We would soon discover that it is, in fact, these multiply ambiguous universes of discourse which constitute the second-degree metalanguage of literary evaluation. It is from here that the literary critics pick and choose their "standards" and "norms" of evaluation as well as their analytical and descriptive apparatus.

> ériger en lois ses impressions personelles, c'est le grand effort d'un homme s'il est sincere

writes the French critic Remy de Gourmont, and significantly enough T.S. Eliot uses the statement as epigraph to his essay entitled "The Perfect Critic."[1] In the sacred wood of literary criticism "the laws" erected out of "personal impressions," out of the grand effort of sincere human beings, draw upon the concepts and criteria which are more

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1 T.S. Eliot, The Sacred Wood (London: Methuen, 1920), p. 1.

"extrinsic" than "intrinsic". Eliot himself, in a famous statement, says

> The "greatness" of literature cannot be determined solely by literary standards, though we must remember that whether it is literature or not can be determined only by literary standards.[1]

As will be clear from the following sections, literature is more frequently judged in terms of implicit values drawn from outside than in terms of those which are set up from within. It is nearly always in terms of something else that the value of literary works are judged. How such choices are implicit in literary analyses is revealed, for instance, by a famous exchange between Rene Wellek and F.R. Leavis. Reviewing Leavis's Revaluation (London: Chatto & Windus, 1936) in Scrutiny for March 1937, Dr. Wellek wrote that in Leavis's treatment of English poetry he makes a number of assumptions that Leavis "neither defends nor even states." Wellek then adds:

> I could wish that you had made your assumptions more explicitly and defended them systematically... (one should) become conscious that large ethical, philosophical and, of course, ultimately, also aesthetic choices are involved.[2]

Leavis's reply to the above criticism is characteristically evasive and uncommitted, but it does help us to understand how literary analyses are made. Leavis wrote:

> The critic--the reader of poetry--is indeed concerned with evaluation, but to figure him as measuring with a norm which he brings up to the object and applies from the outside is to misrepresent the process. The critic's aim is, first, to realize as sensitively and completely as possible this or that which claims his attention; and a certain valuing is implicit in the

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1 T.S. Eliot, Essays Ancient and Modern (London: Faber, 1936), p. 93.

2 Rene Wellek, "Literary Criticism and Philosophy," Scrutiny, March, 1937, p. 376.

> realizing. As he matures in experience of the new thing he asks, explicitly and implicitly; "Where does this come? How does it stand in relation to...? How relatively important does it seem?" And the organization into which it settles as a constituent in becoming 'placed' is an organization of similarly 'placed' things, things that have found their bearings with regard to one another, and not a theoretical system or a system determined by abstract consideration.[1]

Behind Dr. Leavis's phraseology--realizing, constituent, bearing, organization, placing, etc.,--is either a commodious potential vacuity or, as he himself puts it, "a certain valuing is implicit in the realizing." Leavis's statement typifies a general vagueness, not only of the descriptive terminology, but also of the process of realizing, organizing, placing and valuing at work. In the long run the two cannot be separated.

3.2.3 All literary analyses, as descriptive, interpretative or evaluative functions, depend ultimately upon notions, values and criteria drawn from three main types of sources. For the purpose of our work we shall call these three sources 1. Intrinsic 2. Intermediate, and 3. Extrinsic. In the following sections a brief analysis of each of these three sources will be attempted:

Intrinsic	Intermediate	Extrinsic
1 Theory of Literature[2]	1 Literary History	1 Theory of Aesthetics
2 Traditional Rhetoric and Prosody	2 'Folk' Linguistics	2 Theory of Ethics
	3 Literary Scholarship	3 History (social, economic, and political)
		4 Biography
		5 Sociology
		6 Psychology/ Psychoanalysis
		7 Epistemology; History of Ideas

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1 F.R. Leavis, "Literary Criticism and Philosophy," The Common Pursuit (London: Chatto & Windus, 1952), p. 213.

2 Or "Poetics" in the sense of the word as it is used from Aristotle to Roman Jakobson.

A fundamental distinction between the extrinsic sources, on the one hand, and the intrinsic and intermediate sources, on the other, is that the former supply nearly all the evaluative notions while the latter supply most of the descriptive equipment. Nearly all the components of the metalanguage of literary analysis are drawn from the above sources. A typological analysis of literary criticism on the basis of its "source of values" can be postulated, but ordinarily literary critical analysis is more likely to be generically "mixed" than pure. In other words, a critic is more likely to base his metalanguage on several sources of values than rely entirely on one single source. Discounting Marxists or psychoanalysts, most critics tend to appeal to the theory of aesthetics, and in appealing to aesthetics or ethics a number of intuitively apprehended "universals of value" are taken for granted a priori by the literary critics. Neither the nature of the universals is made explicit nor the nature of the relationship between the universals and the critic's own preferences or choices. The choices are made and the universals are merely invoked, and in the process the reader is expected to have understood or apprehended intuitively what the critic is doing. In the long run, thus, the basis of literary criticism is esoteric, not exoteric: the critic assumes the existence of a body of standards supposedly shared by his "initiated" readership which may or may not be the case. As long as the critic appeals, as a part of his descriptive-analytical activity, to the intrinsic or the intermediate universe of discourse

he may willingly confine himself to the observables in the literary work--such as a specific trait, an attested figure of speech, a particular trend or configuration of images and so on. An appeal to the theory of literature or to folk linguistics may, however, be just as esoteric as an appeal to any of the extrinsic criteria. There is, in other words, no correlation between explicitness and the particular set of criteria the critic appeals to--intrinsic or extrinsic. If we look at the theory of literature or at traditional rhetoric and prosody, we find a mass of loosely defined notions which border on socio-cultural notions on the one hand and aesthetic-moral on the other. Literary theory is a great deal more than the theory of literary forms, techniques and structures. It is not concerned merely with what, for example, Rene Wellek and Austin Warren call "the mode of existence of a literary work of art."[1] Their textbook is itself a case in point: it devotes well over one-third of the book to considering the relationship of literature to biography, psychology, society, ideas and other arts. The "theory of literature" is, thus, already a multifarious set of notions drawn from some unbelievably diverse sources of the activities of the human mind. I.A. Richards while describing "the chaos of critical theories" calls such theories "an almost empty garner"[2] and sums up the state of the art in the following memorable words:

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1 Rene Wellek and Austin Warren, Theory of Literature (Harmondsworth: Penguin, 1963) pp. 142-157.
2 I.A. Richards, Principles of Literary Criticism, p. 2.

> A few conjectures, a supply of admonitions, many acute isolated observations, some brilliant guesses, much oratory and applied poetry, inexhaustible confusion, a sufficiency of dogma, no small stock of prejudices, whimsies and crotchets, a profusion of mysticism, a little genuine speculation, sundry stray inspirations, pregnant hints and random aperçus; of such as these, it may be said without exaggeration, is extant critical theory composed.[1]

At its best the theory of literature, like traditional rhetoric, is basically a descriptive and classificatory set of notions, supplying the critic with such notions as plot, character, dialogue, the comic, the burlesque and so on. But at its worst it is a set of generalizations about some abstract entity called "literature" which bears very little resemblance with actual works of literary art.

3.2.4 It is not so much the intrinsic or intermediate sources of concepts which need to be looked into while investigating the nature of literary criticism as a meta-language: it is in the extrinsic sources of its concepts and norms that numerous problematic areas can easily be traced. In this respect the fact that literature has always been considered an art is very significant. This almost automatically leads one to either or both of these areas: theory of aesthetics and theory of ethics. If the critic is a purist (A.C. Bradley or Oscar Wilde is a citable name here), he is likely to appeal mainly (though not entirely) to the theory of aesthetics; but if he is a moralist as well as a critic (and from Dryden to Leavis all critics are quasi-moralists), he is likely to appeal to the theory of ethics as well. In either case the appeal

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1 I.A. Richards, Principles of Literary Criticism, p. 2.

is more often implicit in the choices being made rather than in the concepts being arrived at through a process of rigorous definition and exclusion. The theory of aesthetics is concerned with "universals" of aesthetic experience, and the concepts such as symmetry, proportion, form, perspective, distance etc. are supposed to hold <u>across</u> all arts, irrespective of its medium or substance. In drawing upon the theory of aesthetics the literary critic is already asking his reader to take a literary work or text as an art. Behind such seemingly aesthetic concepts as 'naturalism' or 'realism' one can find notions such as truth to nature, or authenticity of details, or sincerity of effort. The line dividing between the aesthetic component of 'authenticity,' 'sincerity,' or 'veracity' on the one hand and the ethical implications of such notions on the other are rarely, if ever, distinct, and it is some of these notions which form the over-worked stock-in-trade of the metalanguage of literary approaches to stylistic analysis. With this another set of notions may be juxtaposed: the set derived from the social, economic and political history on the one hand and the writer's biography on the other. Literary analyses are full of terms and concepts derived from these sources, and approaches to literature which take any one of the above as framework is bound to be suffused with metalinguistic <u>terms</u> as well as <u>notions</u>. All history, all environmental factors in the life of the writer, can be argued to shape a work of art, and studying literature in terms of its setting, its environment

and its external causes is one of the most widespread methods. These approaches may be deterministic--establishing a direct causal relationship between a literary work and the factors--social, historical or biographical in nature; or they may be descriptive--establishing only a relationship, rather than a causal relationship between the work and the factors outside it. But the point remains that in these approaches for all the underlying notions the critics are explicitly or more often implicitly dependent upon social history, economic history and the writer's biography. In other words, criticism assumes the function of biography or vice versa when the orientation is, as in the works of Middleton Murry, Joseph Wood Krutch and Herbert Read, towards a kind of critical biography. All three are also well-known in the modern Anglo-Saxon literary-critical world as promoters of depth psychology in literary criticism. Herbert Read's work on the English Romantics, The True Voice of Feeling[1]--a suggestive title, Middleton Murry's destructive hegiography of D.H. Lawrence, Son of Woman,[2] and the study of Swift, Joseph Wood Krutch's study of Dr. Johnson[3]--among others are memorable landmarks. In each of these works it is not just the approach to analysis but also the criteria of evaluation that are drawn from different version of psychoanalysis. Depth psychology provides these critics with a descriptive terminology as well as with norms of

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1 Herbert Read, The True Voice of Feeling (London: Faber, 1953).
2 Middleton Murry, Son of Woman (London: Cape, 1931).
3 Joseph Wood Krutch, Samuel Johnson (London: Cassell, 1948).

judgement. Equally well-established in literary criticism is the literature-as-idea approach where it is the critique of the ideas in literature which becomes the major function of literary criticism. Arthur O. Lovejoy's The Great Chain of Being[1] is frequently cited among the older examples, and Empson's Milton's God[2] is probably a much more restricted study of this kind. There is, for instance, a whole set of books[3] on Milton's Paradise Lost in which the centre of debate is not the poem as a poem but Milton's ideas in the poem. At least part of the debate between Saurat, Tillyard, Lewis and Waldock is to settle the question: Was Milton of the Devil's party without knowing it? Here literary criticism draws upon the history and sociology of ideas, and it becomes a minor branch of epistemology. Literary criticism is never a pure activity, and even in its most unadulterated mode of existence it may be drawing upon "ideas" and "indefinables" from several different sources.

3.3. Specimens of Literary Approaches to Stylistic Analysis

3.3.1 Discussions of literary criticism as a first-degree metalanguage are likely to remain vague, imprecise and abstract unless references are made to concrete specimens of literary criticism and literary approaches to stylistic

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1 Arthur O Lovejoy, The Great Chain of Being (Cambridge: Mass., 1942).

2 William Empson, Milton's God (London: Chatto & Windus, 1961).

3 D. Saurat, Milton: Man and Thinker (New York: Dial Press, 1925). C.S. Lewis, A Preface to Paradise Lost (London: OUP, 1942). E.M.W. Tillyard, Milton (London: Chatto & Windus, 1946). A.J.A. Waldock, Paradise Lost and its Critics (London: Cambridge U. Press, 1947).

analysis. In order to substantiate most of the points made in the preceding sections, some specimens of literary criticism will be examined closely in this section. However, the purpose of the discussion is not merely illustrative: it is to get to certain fundamental aspects of literary criticism as a first-degree metalanguage. A set of five specimen analyses are given below--all of them being on the poetry of Shelley. The five critics in question are each a celebrated figure in contemporary English literary criticism, and their analyses and statements on the work of Shelley, at times on the same work, have an intrinsic as well as representative value. For us what is of interest is not so much the wide divergence of views on Shelley, as the wide divergence of the extrinsic sources on which the views and criteria are drawn, or more specifically the ambiguity of the relationship of these views and the sources from which they are drawn. Like Milton, Shelley became a focus of controversy in literary judgement in the 1930s and the 1940s when the Cambridge critics, on the one hand, and T.S. Eliot on the other, launched a series of critical "dislodgements" of a number of established reputations in English poetry. There is, thus, some validity in rallying different shades of critical opinion and different approaches to literary analyses around the work of Shelley or some such controversial figure, because it is in controversy, in agreeing to disagree, that the literary critics are likely to be most outspoken about what they disagree on as well as how they disagree and diverge from one another. At one place Eliot wrote:

> Criticism, far from being a simple and orderly field of beneficient activity, from which imposters can be readily ejected, is no better than a Sunday park of contending and contentious orators, who have not even arrived at the articulation of their differences.[1]

This might, at first sight, appear to be a piece of harsh self-criticism, but in the articulation of his own differences Eliot has never been any less contending or contentious. He was the poet-critic, the oracular priest-figure of modern literary criticism who inaugurated a new approach to the understanding of literature by declaring that "honest criticism should be directed, not upon the poet, but upon the poem." Therefore, it will not be out of place to begin documentating our specimens with Eliot's analysis of Shelley's poetry:

> The ideas of Shelley seem to me always to be ideas of adolescence---....I find his ideas repellent; and the difficulty of separating Shelley from his ideas and beliefs is still greater than with Wordsworth. And the biographical interest which Shelley has always excited makes it difficult to read the poetry without remembering the man: and the man was humourless, pedantic, self-centred, and sometimes almost a blackguard....His mind was in some ways a very confused one; he was able to be at once and with the same enthusiasm an eighteenth century rationalist and a cloudy Platonist.... ... Certainly, in his last, to my mind greatest though unfinished poem, The Triumph of Life, there is evidence not only of better writing than in any previous long poem, but of greater wisdom. There is a precision of image and an economy here that is new to Shelley. But so far as we can judge, he never quite escaped from the tutelage of Godwin, even when he saw through the humbug as a man; and the weight of Mrs. Shelley must have been pretty heavy too. And, taking his work as it is, and without vain conjectures about the future, we may ask: is it possible to ignore the ideas in Shelley's poems, so as to be able to enjoy the poetry?[2]

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1 T.S. Eliot, "The Function of Criticism," Selected Essays, p. 24.

2 T.S. Eliot, "Shelley and Keats," in The Use of Poetry and the Use of Criticism (London: Faber, 1933), pp. 89-91.

The long quotation from Eliot is of interest to us from several points of view. In the first place, Eliot is very forthright and verbally explicit in saying that his dislike for the poet and his ideas hampers the enjoyment of Shelley's poems. Secondly, where Eliot approves of Shelley, as in The Triumph of Life, he does so for "greater wisdom" as well as for "better writing." By way of explaining what "better writing" might be Eliot offers merely two unrevealing clues 1. a precision of image, and 2. an economy. Thus, when Eliot is not hampered by "the weight of Mrs. Shelley" or of his ideas, he offers to judge him on the criteria of better writing. Yet he has not left the reader a clue as to what he meant by "greater wisdom." Assuming that one is clear about ways of judging precision of imagery, what could "economy" possibly mean in the context? Economy of what? And most important of all, how does one establish economy in itself?

3.3.2 Eliot's verbal explicitness is disquieting, but the inexplicitness of his norms is bewildering, particularly because the attack is frontal. He makes one feel that it is rather bad form to admire Shelley's poetry and that it is a mark of an inferior taste, of muddled thought, if not of vulgar sensibility, to do so. Three years after the above Charles Eliot Norton lecture was delivered by Eliot at Harvard, Herbert Read published a volume of essays in 1936, titled In Defense of Shelley (London: Faber, 1936). The title essay is a curious piece of document in modern literary criticism, because it is not only a defense of

Shelley in terms of psychopathology of the poet. Herbert Read wrote:

> That is the basis upon which I shall attempt to justify the poetry of Shelley--not condemn it as failing to achieve something which was not in the nature of the poet, but praise it for expressing, with an unsurpassed perfection, qualities which belonged to the poet and which are of peculiar value to humanity. But first I think it is necessary to establish the psychological type to which Shelley belonged. ... If Shelley's life and writings are glanced at with a psychological eye, three significant features will at once be noticed:
>
> 1. the occurrence, at intervals, of hallucinations of a morbid or pathological nature;
> 2. an abnormal interest in incest motives;
> 3. a general lack of objectivity in his normal mode of self-expression[1]
>
> From the pathological point of view, Shelley was a neurotic, in conflict with the social imposition of normality. But from a more general and human point of view, Shelley was a genius whose neurotic reaction, for all its distortion, represents an organic urge towards "a completer oneness of life," "a clearer, more conscious social order." He did not define his auto-sexuality but he allowed the reaction full scope. That is to say, he allowed his feelings and ideas to develop integrally with his neurotic personality.[2]

The best succinct summary of Sir Herbert Read's defense of Shelley is, perhaps, Coleridge's saying "So he is; so he writes,"--a statement which Herbert Read uses as epigraph to the first chapter of his studies in English Romantic poetry, The True Voice of Feeling, which includes the paper on Shelley as well. It would appear that Rene Wellek was quite right when he wrote

> Mr. Herbert Read seems to have achieved the opposite of what he wanted when he stressed the pathological features of Shelley's character.[3]

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1 Herbert Read, "In Defense of Shelley," in The True Voice of Feeling, p. 236.
2 Ibid., p. 263.
3 Rene Wellek, "Literary Criticism and Philosophy," Scrutiny, March, 1937, p. 383.

The ground where both Herbert Read and T.S. Eliot seem to meet (though unintentionally) is that they approach Shelley's poetry through the poet. One finds his ideas repellant and therefore his poetry disagreeable to read, the other finds Shelley a pathological case and therefore his poetry of peculiar value to humanity. As a neurotic with primary fixation and autosexuality, Shelley succeeds in expressing the qualities of his nature in an urge towards "a completer oneness of life." Thus, the case of Shelley is being debated by the prosecution and the defense in a court where there are several penal codes to choose from. In reading the analyses of Eliot and Read it is difficult to avoid the impression that the critics merely phrase and articulate their personal likes and dislikes in a metalanguage drawn from whatever source happens to be convenient to them--a metalanguage which lends intellectual acceptability to one's personal preferences. Choices are made a priori, and arguments are built post hoc into a metalanguage.

3.3.3 To move from Eliot and Herbert Read to the writings of G. Wilson Knight, for instance, is to move into a different mode of literary analysis. The orientation of Wilson Knight's analysis is more interpretative and elucidatory than judicial like Eliot's, and he takes the poetic image as the primary pigment, the simplest unit of literary structure. His analyses give interpretation of poems in terms of spatial and semantic relationships of poetic imagery, and in this sense the approach may be said

to be more intrinsic than, say, Herbert Read's. As a unique species of literary approach to stylistic analysis Wilson Knight comes very close to the work of Michael Riffaterre who described a Baudelaire poem as "a sequence of synonymous images." According to Wilson Knight,

> Perhaps of all (Shelley's) work The Sensitive Plant expresses his general problem and its answer. Nature, in the plant nurtured by a lady, is striken by the 'chariot' of winter, but the poet refuses to allow death to overcome a positive joy. In The Triumph of Life he works to probe the meaning of that chariot. His favourite symbol of an eagle and serpent battling in mid-air repeats the opposition of albatross and reptile in The Ancient Mariner, but from the start Shelley, as in the early action of The Revolt of Islam, gives the serpent full sympathy. His spiritualized fervours may be over-emphasized, deflecting our minds from his essential realism and urgent message; so may his optimism. There is no facile revolutionary expectation.... ... ...Moreover, disagreement with his moral or philosophical ideas must be allowed only a minor emphasis... ...We can always put our own conflicts in their place, and get on with the real business of poetry, concerned more precisely with symbolism. Then we shall feel Shelley as a figure of both agony and revelation.[1]

What seems to be remarkable about Wilson Knight is his tolerance of and willingness to put up with Shelley's "moral and philosophical ideas," his spiritualized fervours, optimism and revolutionary expectation. He hopes to get on with the real business of poetry---undeterred by any disincentive. For Wilson Knight the real business of poetry is concerned, not with "our conflicts," but with symbolism---with the recurrent figures in the carpet of Shelley's poetic imagination. The semantic-spatial links between such symbols in or among Shelley's poems are what

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1 G. Wilson Knight, "The Naked Seraph: An Essay on Shelley," in The Starlit Dome: Studies in the Poetry of Vision (London: Methuen, 1959), pp. 256-257.

deserve the critic's attention, and compared with critics such as C.S. Lewis who find Shelley's poetry marred by his ideas, Wilson Knight's approach to stylistic analysis and literary interpretation is a desubjectivized response--"desubjectivized" at least in suppressing the critic's likes and dislikes. C.S. Lewis is among those critics who defends Shelley because, as he puts it, "Mr. Eliot offers up Shelley as a sacrifice to the fame of Dryden." Lewis provides an interesting example of a critic who agrees to disagree with Eliot:

> I do not believe that the poetic value of any poem is identical with the philosophic; but I think they can differ only to a limited extent, so that every poem whose prosaic or intellectual basis is silly, shallow, perverse, or illiberal, or even radically erroneous, is in some degree crippled by that fact. I am thus obliged to rate Epipsychidion rather low, because I consider the thought implied in it a dangerous delusion. In it Shelley is trying to stand on a particular rung of the Platonic ladder, and I happen to believe firmly that that particular rung does not exist, and that the man who thinks he is standing on it is not standing but falling.[1]

What is of interest in C.S. Lewis is that he does not equate the poetic value of a poem with its philosophic value, but he evaluates Epipsychidion rather low because of "a dangerous delusion" implied in it. His judgement is personalized to the extent that he allows that there may be others who might not share his view on this matter, but such happens to be his view. Once again, it is the doctrinal adhesion of the critic which fails to find its echo in the poetry which makes the critic take a personal stance.

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1 C.S. Lewis, "Shelley, Dryden and Mr. Eliot," in Rehabilitations and other Essays (London: OUP, 1939), pp. 26-27.

3.3.4 One final specimen of literary approaches to stylistic analysis must come from someone who approaches the work of Shelley professedly by focussing not upon the poet, but upon the poetry. Dr. F.R. Leavis's essay on "Shelley" in Revaluation may be considered the locus classicus of its kind in that the critic for once claims that "it is strictly the 'poetry' one is criticizing."[1] Leavis finds Shelley's poetry viatiated by what he calls "poeticalities." They originate in Shelley's "weak grasp upon the actual" and end up in woolly lyrical-emotional imagery devoid of any notional content. Shelley's poetry "induces a kind of attention that doesn't bring the critical intelligence into play."[2] This becomes a habit in Shelley when he, "at his best and worst, offers emotion in itself, unattached and in the void."[3] The inspired poet in Shelley thrives on "surrendering to a kind of hypnotic rote of favourite images associations and words."[4] Out of this pervasive emotional verbosity emerges a picture of the poet "whose characteristic pathos is directed upon an idealized self."[5] Luxuriating on self-pity Shelley is habitually his own hero. "Wordy emotional generality" is an epithet which summarizes Leavis's analysis of the poetry of Shelley. Leavis notes:

> The antipathy of his sensibility to any play of the critical mind, the uncongeniality of intelligence to

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1 F.R. Leavis, "Shelley," in Revaluation (London: Chatto & Windus, 1936), p. 204.
2 Ibid., p. 207.
3 Ibid., p. 214.
4 Ibid., p. 214.
5 Ibid., p. 220.

> inspiration, these clearly go in Shelley, not merely with a capacity for momentary self-deceptions and insincerities but with a radical lack of self-knowledge.[1]

Before we go into Leavis's analyses, it might be fruitful to juxtapose Herbert Read's claims with Leavis's criticisms of Shelley's poetry. Herbert Read writes:

> The highest beauties of Shelley's poetry are evanescent and imponderable--thought so tenuous and intuitive that it has no visual equivalent, no positive impact... ... In such a poem--and it is the supreme type of Shelley's poetic utterance--every image fades into air, every outline is dissolved in fire. The idea conveyed--the notional content--is almost negligible; the poetry exists in the suspension of meaning, in the avoidance of actuality... ... In other words, such poetry has no precision, and the process of its unfolding is not logical. It does not answer to the general definition of any kind.[2]

Leavis finds much of Shelley's poetry banal precisely for the same reasons for which Herbert Read finds "evanescence and imponderability" the highest beauties of Shelley's poetry. Herbert Read's "ontogenetic" defense of Shelley, as we saw earlier, was in terms of a pathological case-history of the poet whose 'general lack of objectivity in normal mode of self-expression' is explained in terms of 'primary identification' and 'autosexuality.' It is in Leavis's case--as an exemplary instance--that we see the inexplicitness of the nature of the criteria and norms of evaluation or analysis. Leavis claims to be criticizing the poetry and strictly as poetry, but his criticism of Shelley's poeticalities or habits of imagination breaks, in the long

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1 F.R. Leavis, "Shelley," in Revaluation (London: Chatto & Windus, 1936), p. 221.

2 Herbert Read, "In Defense of Shelley," in The True Voice of Feeling, pp. 284-285.

run, into the psychopathology of Shelley's narcissism. What is disconcerting is that arguing from exactly the opposite end of the critical spectrum, Leavis reaches the point where Herbert Read starts from. Yet the two critics end up by assigning exactly opposite values to Shelley's poetry. Leavis's metalanguage is so inexplicit that even a scholar-critic of Rene Wellek's stature had to confess

> I could wish that you had made your assumptions more explicitly and defended them systematically. ... ...[1]

Wellek then goes on to explicitly formulate the assumptions that lie behind Leavis's analyses:

> Allow me to sketch your ideal of poetry, your 'norm' with which you measure every poet: your poetry must be in serious relation to actuality, it must have a firm grasp of the actual, of the object, it must be in relation to life, it must not be cut off from direct vulgar living, it should be normally human, testify to spiritual health and sanity, it should not be personal in the sense of indulging in personal dreams and fantasies, there should be no emotion for its own sake in it, no afflatus, no mere generous emotionality, no luxury in pain or joy, but also no sensuous poverty, but a sharp, concrete realization, a sensuous particularity. The language of your poetry must not be cut off from speech, should not flatter the singing voice, should not be very mellifluous, should not give, e.g., a mere general notion, etc.,
>
> The only question I would ask you is that large, ethical, philosophical and, of course, ultimately, also aesthetic <u>choices</u> are involved.[2]

Leavis's reply to this, as we saw in 3.2.2 of this chapter (cf. p. 95), is uniquely evasive. The 'norms' outlined above by Rene Wellek are nowhere made explicit by Leavis in any of his writings. He avoids discussing precisely those fundamental <u>choices</u> which determine not only his

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1 Rene Wellek, "Literary Criticism and Philosophy," <u>Scrutiny</u>, March 1937, p. 376.
2 <u>Ibid</u>., p. 376.

specific local judgements of poems but also his general analytical terminology. As is obvious from Leavis's own statement, "a certain valuing is implicit in the realizing," yet what he claims is that the valuing is not made in terms of "a theoretical system" or "a system determined by abstract considerations." The criticism is that the valuing is merely implicit; that the valuing merely implies choices and assumptions. Wellek's point is that these choices and assumptions are being made, not that they should be made as a theoretical system determined by abstract considerations. In actual practice, not only are such choices and assumptions seldom stated; the impression given is that they have never been made at all. This brings out what might be called the fundamental characteristic of literary approaches to stylistic analysis. Literary analyses and evaluations are made by taking the metalanguage for granted, by taking, not only the reader's intuitive awareness of its conceptual framework, but also his consent to it, for granted. The fact that the literary critic takes several universes of knowledge as his province, moving from branch to branch without warning anyone, makes the task of keeping up with him much less easy. While some of the intrinsic sources of his metalinguistic concepts and criteria, such as poetics, rhetoric, traditional grammar, literary history, are clearly discernible the extrinsic areas are not easy to discern and isolate. What is more problematical is the overlapping character of most of the literary critic's concepts and criteria so that any attempt

to define them in the precise terms of any single discipline is likely to be a frustrating attempt. This is so because, in the long run, the language of literary analysis and judgement is enmeshed in a vast corpus of problems, assumptions, adumbrations, fictions, prejudices, guesses, and disputations about matters of feelings as well as ideas. This is what we shall examine briefly in the next section.

3.4. Literary Judgement: A Diagnosis

3.4.1 Some forty-four years ago, introducing his documentation on the vagaries of literary judgement, Dr. I.A. Richards wrote:

> All the great watchwords of criticism from Aristotle's "Poetry is an imitation" down to the doctrine that "Poetry is expression," are ambiguous pointers that different people follow to very different destinations.[1]

In his study of literary judgement Richards identifies and defines ten crucial problems which obstruct and distort the nature of literary reading, response and judgement. He was working with poetry, but what he has to say on it has an indisputably diagnostic value for all students of literary analysis. For convenience one can group these ten difficulties or detractors into three clear groups:

Group A	Group B
1. The difficulty of making out the plain sense of poetry	4. The influence of mnemonic irrelevances
2. The difficulty of sensuous apprehension	5. Stock responses
3. Difficulties due to imagery, mainly visual.	6. Sentimentality
	7. Inhibition

Group C

8. Doctrinal Adhesions
9. Technical presuppositions
10. General preconceptions

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1 I.A. Richards, Practical Criticism, p. 12.

For our purposes, if we, temporarily, leave out Group A which is principally a group of difficulties in reading the plain sense of poems, what are left are two groups of obstacles of which Group B is mainly a cluster of problems which has to do with the psychology of deviant response. It is Group C which has to do with doctrinal, technical and other presuppositions or with preconceptions of one sort or another. The nature of literary approaches to stylistic analysis can be assessed by an explicit statement, such as the one attempted by Rene Wellek, of what doctrinal adhesions, what technical presuppositions and what other general preconceptions, in short, what choices have been made by the literary critic. In making a particular piece of stylistic analysis whether or not a critic is subject to the influence of mnemonic irrelevances, stock responses, or whether or not he has succumbed to sentimentality or inhibition, can be attested only with specific reference to each concrete piece of analysis and judgement; but no literary analysis or judgement would do without a metalanguage and choosing a metalanguage in place of another is already choosing to adhere to some doctrines instead of others, some general and technical presuppositions instead of others. The choice may be conscious and deliberate (as in the case of Herbert Read, among our specimens), or it may be implicit (as in the case of Leavis and, perhaps, Wilson Knight). Richards's list of hurdles are not unconnected with one another. They overlap a great deal, yet what stand out in any investigation of the nature and efficacy of literary

approaches to stylistic analysis, are the characteristics of the metalinguistic preconceptions, presuppositions and doctrinal adhesions of the practicising critics which, for instance, enable T.S. Eliot to say,

> Some of Shelley's views I positively dislike and that hampers my enjoyment of the poems, and others seem to me so puerile that I cannot enjoy the poems in which they occur.[1]

It is the ambiguous nature of these doctrinal adhesions, technical presuppositions and a host of other inexplicit preconceptions which, in the long run, motivate literary analysis and literary judgement. If one goes on scratching the literary approaches deeper and deeper one comes across a vast corpus of assumed "universals" of ethics, aesthetics, metaphysics, philosophy and ultimately everything about which civilized man cares to have an opinion.

3.5. Conclusion

3.5.1 Literary analysis does not start from a tabula rasa, and literary judgement is not a science, much less an exact and mathematically precise one. It is not even a discipline in the sense in which the social sciences, though not as precise as the physical ones, are delimited as to their individual universes of discourse. Literary analysis may be a centripetal preoccupation, but literary judgement is nearly always centrifugal in motivation. One always brings something else to judge literature by. Thus when the literary critic moves from a purely descriptive, analytical and interpretative function to an evaluative one,

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1 T.S. Eliot, The Use of Poetry and the Use of Criticism, p. 91.

his metalanguage becomes at once less explicit and more drawn to extrinsic areas of his personal or doctrinal presuppositions. What he is judging and what he is judging by are both assumed to be commonly and equally accessible to the reader as well as to the critic. The critic is not a pedagogue, but pedagogy feeds on what the critics supply as exegesis, commentary and criticism. The ambiguity of the relationship between what is being judged and what it is being judged by becomes a severe handicap particularly when what is of primary significance, as in the teaching of literature, is precisely this relationship between the metalanguage and the object language. The intuitive awareness assumed by the critic to be shared by his readers is conspicuously absent in a class of students whose first language is not English, so that the meta-linguistic concepts, values and criteria are not available unless they are stated explicitly to be in action. When literary criticism draws upon diverse sources, intrinsic as well as extrinsic, for these metalinguistic concepts, criteria and ideas, the sheer diversity of the sources makes it an impossible task to explore systematically the nature and the status of each of these ideas in isolation or in the context of the source discipline. Their theoretical or conceptual validity within the source-discipline itself may not always be a neat affair. What is, for example, the status of such notions as 'sincerity' and where does one go to in order to validate it theoretically? Yet it is notions like these which are the stock-in-trade of literary approaches to stylistic analysis. Added to this extrinsic

set is a host of intrinsic notions such as image, metaphor, plot, character, irony, paradox, symbol, climax etc., which are derived from poetics and rhetoric. But neither tells the reader about the use of such notions as 'paradox' or 'character' in making an analysis of an actual text. In actual practice these are used intuitively, almost entirely according to a critic's preferences. Thus, where one critic would have used 'imagery' the other uses 'symbolism' and where one would have preferred 'image' other uses 'metaphor,' and so on.

3.5.2 It is not so much the ambiguity of the metalinguistic notions nor the uncertainty of their exact status in the source-areas that is disheartening about literary approaches to stylistic analysis. It is the procedural ambiguity of their application or applicability of one or other of these metalinguistic notions which is most distracting about literary approaches to stylistic analysis. Given a set of such notions it is almost entirely a matter of the critic's intuition to decide which ones of these notions to put in action and which ones to leave alone for the time being. Not that intuition can be done away with entirely in any model of literary-stylistic analysis. But the literary approaches put nearly all premium on the critic's intuition: analysis is a matter of personal decision, not only because the critic chooses intuitively apprehended features alone to analyze and describe, but also because the critic chooses an intuitively satisfying metalanguage in which to analyze and describe the yield of his analysis.

Allan Rodway, in an interesting and stimulating study of contemporary criticism entitled The Truths of Fiction, supplies us with what he calls "Tree of Fallacies" in literary criticism.[1] In Rodway's tree of fallacies, nearly all the conceivable fallacies in literary criticism, beginning from intentional fallacy and affective fallacy to hedonistic and didactic fallacies, are assigned each a neat place in one of the two branches or subsidiary branches of the tree--i.e., the external branch and the internal branch, the external one further branching out into causal (intentional fallacy) and consequential (affective fallacy), and the internal one into contentual (propositional fallacy) and formal (autotelic and formal fallacies). What is unarguably missing in Allan Rodway's tree of fallacies is the procedural fallacy--i.e., the fallacy of refusing to consider literary criticism as a procedure, as a methodology of analysis and evaluation. What is so often taken for granted is precisely the most important feature of literary analysis and judgement, i.e., literary analysis and judgement qua procedure. How are the central notions derived? How are analyses made? How are literary judgements made? In other words, how does the critic know where to begin? It is only by answering these crucial questions, and not the ones which, for instance, Leavis poses,--"where does this come? How does it stand in relation to? How relatively important does it seem?"--that the fundamentals of literary

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1 Allan Rodway, The Truths of Fiction (London: Chatto & Windus, 1970), p. 95.

analysis and the nature of its metalinguistic equipment can ever be laid bare.

3.5.3 Reviewing a work on stylistic analysis of later Henry James by Seymour Chatman, Michael Egan wrote that stylistics

> requires to be unmasked, in the sense that Mannheim uses this term in Ideology and Utopia, and shown to be related to an attitude which seeks to discourage a full engagement with the serious and substantive moral and political issues all important writing raises. Criticism, as significant commentators from Johnson through to Leavis have shown, is involved in the world of values, both moral and social, or it is nothing. By pretending that a literary analysis can be neutral in any way Chatman, and the school which he represents, is helpful to deflect critical attention from its proper concerns, to trivialize it in a word, and thus lay the groundwork for a new trahison des clercs.[1]

Paying the critic in his own currency, we might say that the literary approaches to stylistic analysis or evaluation need to be "unmasked" by showing how they are involved in "the world of values" and, above all, by showing what these values are. If engagement with serious moral and political issues which all important writings raise, is a function of literary analysis or evaluation, the need to clarify the critic's engagement with these issues is all the more urgent. If the critic is willing to share his esoteric awareness in terms of a metalanguage which can be scrutinized, literary analysis and evaluation would not be any less important or trivialized. If, as Richards put it, "to set up as a critic is to set up the judge of values," then both the values to judge by and the mode of arriving at the judgement

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1 Michael Egan, "How Relevant is Linguistics to Criticism?" The Times Higher Education Supplement, January 28, 1972, p. 13.

should be made explicit for anyone to be able to contest or consent. This is precisely what literary approaches to stylistic analysis do not always seem to do.



PART II

Linguistic Models

Linguistic Models

Chapter IV

The Concept of Style in Modern Linguistics: Theory

4.0. Introduction

4.0.1 Outside of linguistics the concept of style is so intimately associated with written language that it is nearly always taken for granted that when one is referring to style in language one is thinking of written language or texts. Literary scholars on the one hand and philologists on the other have, for generations, confined the use of the term 'style' exclusively to describing intuitively apprehended properties of written texts--mostly literary texts. It might, therefore, come as a shock to some of them when, for instance, the linguist attempts to extend the term 'style' to all language events, irrespective of the medium (i.e., the written as well as the spoken), or the variety (i.e., literary as well as non-literary). They might even think that by extending the concept of 'style' to all language events the linguist has robbed the term of its potential validity. Although there are differences of opinion among contemporary linguists on assigning a precise theoretical status to the concept of style, all or nearly all of them seem to agree on the point that style is common to all speech events. In other words, all speech events, irrespective of language variety, have stylistic possibilities or possibilities of differential use of a single code system. Having said this the linguists are divided among themselves as to the exact status of the concept of style in linguistic theory. Is style a linguistic "prime" (such as 'phoneme,' 'morpheme,' 'sentence' - the ultimate units of the theory) or merely a

notional term of a pre-theoretical status? Is it "an alignment of the categories of the theory," as Halliday would have put it? Some assign it a separate status of a level of linguistic analysis while others conflate the analysis of style with the analysis of text (i.e., any stretch of language larger than a sentence). For example, Archibald A. Hill, in his paper on "Poetry and Stylistics," writes:

> A current definition of style and stylistics, is that structures, sequences and patterns which extend, or may extend beyond the boundaries of individual sentences define style, and that the study of them is stylistics... ...Stylistics always falls, then, between the area of microlinguistic items and structures and the ultimate area of metalinguistic correspondences.[1]

Hill assigns style to a 'level' or 'inter-level' between micro- and meta-linguistic structures in a three-level picture of ordinary communication so that what emerges is a figure of the following type:

Figure 1

Signification	Metalinguistic	-
Structures	Microlinguistic	- Style
Sound Signals	Prelinguistic	

The assignment of style to a discrete level is not widely agreeable to the linguists. This is so partly because unlike the patterning or structures of words ("primary level" in Lyons's sense) and sounds (secondary level) i.e., the duality of patterning, 'style' has no discrete status of a 'level' in the signalling system. As style underlines

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1 Archibald A. Hill, "Poetry and Stylistics," in Essays on the Languages of Literature, ed. Chatman and Levin (Boston: 1967), p. 389.

the potentiality of differential use of the code system in the production of actual messages, a number of British linguists of the Neo-Firthian School have, in practice if not in theory, conflated the concept of style with the concept of text so that in their terms analysing a text is analysing the style of the text. Thus, Halliday defines "linguistic stylistics" as

> the description of literary texts, by methods derived from general linguistic theory and within the framework of a description of the language in question.[1]

What emerges from the above statement by Halliday is that the concept of style does not have an independent status in descriptive linguistics--i.e., in linguistic theory preoccupied with describing texts. In "Categories of the Theory of Grammar," "text" is defined as

> observed language events, observed as spoken or as codified in writing, any corpus of which, when used as material for linguistic description, is a 'text'.[2]

Thus in early Hallidayan writings any semblance of distinction between style and text on the one hand and between textual description and linguistic description on the other, is more a matter of convenience than of precise theoretical import. Between the two distinctly divergent approaches to the concept of style i.e., style as a level of linguistic analysis and style as a non-discrete property of the text, we find a whole spectrum of views on style in modern linguistics. But nearly all of them converge at some or other mediate points than at the exclusive poles

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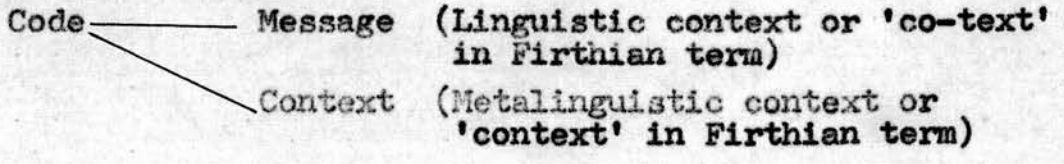
1 M.A.K. Halliday, "The Linguistic Study of Literary Texts," p. 218.

2 M.A.K. Halliday, "Categories of the Theory of Grammar," p. 243.

such as exemplified by the statements of Hill and Halliday.

4.0.2 Just as there is a wide divergence of opinions among the linguists on assigning a status to the notion of style in linguistic theory and analysis, there is no unanimity of views on what properties of text are stylistic, or stylistically "marked", and what are not. If, as in the early Hallidayan analyses, textual analysis is synonymous with stylistic analysis, all features of a text are stylistically relevant. This, in turn, makes the concept of style merely gratuitous. The description of the text is done by assigning tokens to types, but not in terms of the properties which the tokens have acquired in the text. Thus, another major parameter along which there is a kind of polarization of views among the linguists is the assignment of stylistic properties to different factors in the speech or language event. Taking Jakobson's schematization of verbal communication in terms of six "inalienable" factors (i.e., addresser, addressee, context, code, message and contact) as our framework, it is possible to see the assignment of stylistic properties primarily as a function of one or other of these inalienable factors. The emphasis is more often on code, message and context, with addresser close behind the three factors. If we reduce the scheme to a three-factor or triadic model, what emerges is a figure of the following type:

Figure 2



The significance of this figure lies in the fact that in the reduced scheme if we drop the lines what we get are basically two sets of communication factors:

Code versus Message

Code versus Context

Nearly all contemporary arguments in stylistics seem to converge on these two sets of communication factors. Stylistic properties are assigned by the linguists by emphasizing, and focussing their attention on, either of the two factors in the two sets. For example, Jakobson's analysis of Sir Philip Sidney's sonnet in Arcadia[1] and Shakespeare's Sonnet No. 129[2] are done by focussing the attention on the code: i.e., phonology, grammar and lexicon of English. This is, by and large, true of American structuralist approaches to style as well as the early Hallidayan work on stylistics. On the other hand, we have Riffaterre, Leach and the Prague linguists who approach the question of stylistic properties in the text as a message phenomenon, which is not adequately approachable in terms of the grammar or what Riffaterre calls "the abstract geometry of a language." In other words, while for Jakobson stylistic properties can be analysed in terms of the code, Riffaterre and others find it impossible to

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1 R. Jakobson, "The Grammatical Texture of a Sonnet from Sir Philip Sidney's Arcadia" in Studies in Language and Literature in Honour of Margaret Schlauch (Warsaw: 1966), pp. 165-174.

2 R. Jakobson & Lawrence G. Jones, Shakespeare's Verbal Art in Th' Expence of Spirit (Mouton: The Hague, 1970).

do so except in terms of the message. They, in their turn, find these properties in the use of the code in the message and its structure.

4.0.3 Another parameter, along which there is a similar polarization of views among the linguists, is the relevance of the non-linguistic context, or what Crystal and Davy call "the dimensions of situational constraint" in the analysis of stylistic properties. While all agree that a stylistic property is a differential feature, there seems to be a lack of unanimity of views among modern linguists, with different groups of linguists focussing their attention on one or the other of the following three factors and analyzing the stylistic features as its function:

1. The Code: Style as a feature of differential use of the Code.
2. The Message: Style as a feature of textual patterns achieved in the structure of the message.
3. The Context: Style as a differentiation in the code due to the constraints of the non-linguistic context.

Needless to say, linguists continue to argue about the relevance of one or other of the three focal factors in the attribution of stylistic values in texts, and in accordance with their theoretical persuasion, they continue to assign the concept of style to different degrees of theoretical and practical validity. What seems to be of importance, at this stage of the present study, is the recurrence of specific lines of enquiry which, divergent though they are, can be grouped along certain common approach to style and stylistic attributes. In the next section we shall examine whether a number of such common

bases are presentable in terms of specific parameters, going back to Saussure and Bally.

4.1. Saussure, Bally and the Prague School

4.1.1 Ferdinand de Saussure's (1857-1913) contribution to linguistic studies has often been summarized in terms of three sets of dichotomies or binary 'key concepts.' For example, Lyons[1] discusses them in the following order: 1. Synchronic and Diachronic; 2. Langue and Parole, and 3. Structuralism (Syntagmatic and Paradigmatic). Although Saussure initiates these concepts as interdependent ones, in his own work and in those he inspired the emphasis has always been on the synchronic at the expense of the diachronic, on la langue at the expense of la parole. Thus, the notion of interdependence of these diachotomies is valid only in the case of the third set which has much more of a methodological status in the analysis and description of natural languages than of an ontological one (such as the distinction between la langue and la parole has come to acquire since Saussure). The point at issue, so far as style-study is concerned, is that the setting up of the Saussurean dichotomies may be said to have mainly adverse effect, because it brought in its train a de-valuation, not only of the written language, but also (in fact, mainly) of language variation. What the Saussurean dichotomies may be said to have perpetuated is the belief

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1 John Lyons, "Structuralism and Linguistics," in Structuralism: An Introduction; Wolfson College Lectures 1972, ed. David Robey (Oxford: 1973), pp. 5-19.

that a language system can be studied as an inter-relationship between/among the semiotic signals--a system which is both monolithic and static. The interesting thing is that Saussure does not deny the reality of language variation through social or geographical space, nor the reality of change through time. What he denies is the relevance of the variations in language use in the study of the language system. In this sense, what Saussure attempted to set up was a paradigm of inter-relationships of speech signals, i.e., a model of the syntagmatic and paradigmatic relationships of these speech signals. He wanted to study the fundamental unity among the diversity of speech events in a speech-community. If we can use the word 'grammar' for this model (grammar in the broadest sense which includes phonology, semantics as well as syntax), Saussure's work has led to the study of the code, to the study of the sign system as an abstract formal set of devices. The reason why Saussure's work has had no direct impact on style-study is that while style is a matter of the message (or the use of the code), Saussure not only focussed entirely on the grammar of the sign system; he also considered it irrelevant to study la parole with all its variations and differentiations. For the student of style what Saussure's work encourages is to set up a fresh dichotomy; and this time it is between grammar and style, between the constraints and the variables in the use of a sign system.

4.1.2 The dichotomy between grammar and style emerges in the work of Charles Bally, Saussure's disciple and one

of the editors of his posthumous Cours de Linguistique Generale. Saussure's la langue is what V. Brøndal calls "a purely abstract entity, a norm which stands above individuals, a set of essential types, which speech actualizes in an infinite variety of ways."[1] The basis of Charles Bally's approach to style is the distinction between the abstract system of Saussure and the use of the system in what Bally calls "the service of life" i.e., for its social and biological functions. Language in the service of life is the living language soaked in human affections, mingled with human strivings, existing only to fulfil the purposes of life itself. Bally considered stylistics as a sub-division of linguistics which studies the affective or expressive mechanisms in language. The conception depends upon a distinction between 'the logical' and 'the affective' features of language. The logical aspect of language is in its function as the vehicle of pure ideas, in the communication of facts in themselves, realized only imperfectly in the 'artificial' language of science. The actual language is everywhere penetrated with strivings, affections, judgements of feeling and judgements of value. Bally's la stylistique is a study of all the ways in which the language system is converted into the stuff of living human speech events. Bally proposes to explore the emotive expressive resources of the language (in his case, the French language) as a whole

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1 V. Brøndal, Acta Linguistica, Vol. I, No. 1, p. 5 (Quoted by Roland Barthes, Elements of Semiology, p. 15).

in terms of a norm and deviations, in terms of the logical and the affective aspects of the language. What serves as the norm for Bally is not exactly the grammar, but the use of the grammar in "the logical or intellectual mode of expression, which one might also call the language of the abstract, or the language of pure ideas." Taking this variety as the norm Bally proposes to prepare an inventory of affective devices in the language. Bally refuses to take the literary language into consideration because, according to him,

> There is an impossible gulf between the use of language by an individual in the common, general circumstances imposed on a whole linguistic group, and the use made of it by a poet, a novelist, an orator. (The litterateur) makes a voluntary and conscious use of language... ... Secondly, and above all, he uses language with an aesthetic intention; he strives to create beauty with words, as a painter does with colours or a musician with sounds.[1]

Thus, Bally excludes literary style from his studies in the affective qualities in language. Bally's la stylistique incorporates the notion of differential use of language, but it excludes conscious choice. Using Louis T. Milic's distinction[2] between "rhetorical choice" and "stylistic option" one might say that Bally's notion of style is limited to stylistic option, to the unconscious pole, and that he leaves out the conscious pole or rhetorical choice from style studies. Such a limited view of style was soon to come under criticism, among others, from Bally's own disciple, Marcel Cressot, who wrote:

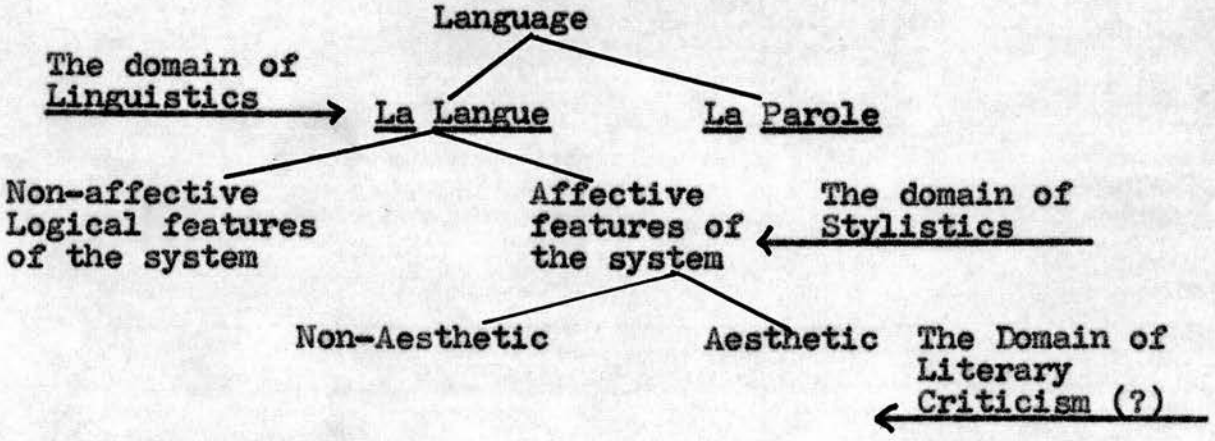
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1 Charles Bally, Traité de stylistique française, p. 19.
2 Louis T. Milic, "Rhetorical Choices and Stylistic Option," in Literary Style: A Symposium, ed. Chatman (London: OUP, 1971), pp. 77-88.

> Literature is par excellence the domain of stylistics, precisely because there the choice is more 'voluntary' and more 'conscious'.[1]

Bally considered stylistics as a science, and this might be one of the reasons why he refused to extend his study to literature where the aesthetic intention of the _litterateur_ adds an uncertain dimension to stylistic variation. What is of interest here is the set of notions that were emerging at the outset of modern linguistics--the notions which continue to play a major role in all debates in contemporary stylistic theory. Between Saussure, Bally and Cressot, a number of dichotomies have already been established. The most important of these are, of course, the ones between _la langue_ and _la parole_ and between linguistics (as a study of _la langue_) and stylistics (as a study of the affective properties of _la langue_). It is also of crucial significance, in retrospect perhaps, that Bally establishes a discontinuity, not only between the system and the system in service of life, but also between the language in everyday use and the language of literature. What emerges is a bipartite division of the study of language, as in Figure 3.

Figure 3



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1 Marcel Cressot, _Le style et ses techniques_, (Paris, 1947), p. 3.

The work initiated by Bally has had little influence on the style-studies in the Anglo-Saxon and the English-speaking world. The Germanic students of style who could be considered Charles Bally's successors continued the work on stylistics along an 'idealistic' line of enquiry. The best representatives of this school are perhaps Karl Vossler, Leo Spitzer,[1] and Stephan Ullmann.[2] As practitioners of stylistic analysis their work tends to be intuitive. One reason why this is so is that their practice is derived, not from any explicit framework of a theory of linguistic description, but from a personal awareness of the style values of specific texts. For instance, Spitzer writes,

> The first step is the awareness of having been struck by a detail, followed by a conviction that this detail is connected basically with the work of art.[3]

The subjectivity of Spitzer's suggestion that one should "work from the surface to the 'inward life-center' of the work of art," is a liability of this approach. As their work lies outside the models of style analysis covered in this study no discussion of their approach will be taken up here.

4.1.3 In order to get closer to the major work done by the linguistically-oriented analysts of literary style one has to take a close look at American structural linguists, the British Neo-Firthian linguistics and the

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1 Leo Spitzer, Linguistics and Literary History: Essays in Stylistics (Princeton, 1948).
2 Stephan Ullmann, Language and Style (Oxford: Basil Blackwell, 1964).
3 Leo Spitzer, Linguistics and Literary History: Essays in Stylistics (Princeton: 1948), p. 26.

transformational-generative theory. But the first major group of linguists to be preoccupied with a systematic incorporation of the notion of style in linguistic theory, is the Linguistic Circle of Prague. In the pre-war 1930s writings of Bohuslav Havranek and Jan Mukarovsky an approach to style-study began to take shape. As Dubsky puts it,

> The linguists of the Prague school formulated the principles of the stylistic differentiation of the standard language in the context of the conception of language as an open dynamic system of signs functionally utilized. The basis of the Prague conception of functional styles is a profound view about the correlation of language with its realization in concrete acts of speech, based at the same time upon the wider issue of the functions of language.[1]

Three points emerge from Dubsky's statement: 1) The Prague conception of 'functional style' is related to concrete acts of speech (hence it is a part of _la parole_, not of _la langue_ as in Bally). Bally's _la stylistique_, as we saw earlier, had nothing to do with _la parole_. It was merely an extension of Saussure's _la langue_ to a fresh area, i.e., the affective features or properties of the language system. Bally's _la stylistique_ was an attempt to systematize the notion of the affective devices available in the language system, not an enquiry into how these devices are put to work in the creation of actual utterances or texts. The Prague linguists may, therefore, be said to have made Bally's _la stylistique_ stand on its feet. 2) Stylistic differentiation is a part of the conception of language as an open dynamic

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1 Josef Dubsky, "The Prague Conception of Functional Style," in _The Prague School of Linguistics and Language Teaching_, ed. Fried (London: OUP, 1972), p. 112.

system, and 3) Stylistic differentiation is based on the functions of language (hence 'functional styles'). In one of the earliest available Prague documents on the subject, Havranek's paper, "The Functional Differentiation of the Standard Language," (1932) he writes,

> The use of linguistic devices is in the concrete act of speech determined by the purpose of utterance; it is directed towards the function of the act of speech.[1]

Havranek distinguishes standard language from folk speech as a preliminary distinction--the latter being limited to oral communication. As for the functional differentiation in the standard language, he establishes a distinction between communicative function and expressive function of the language. In order to serve these functions the standard language makes use of differential devices or of their special adaptation. For communicative function and expressive function

> the major modes of this special utilization of the devices of the language in the standard and in its various functions can be designated, on the one hand, as the intellectualization of these devices, and on the other hand, as their automatization and foregrounding in terms of their functional differentiation.[2]

Havranek's intellectualization is reminiscent of Bally's logical aspect of language because he defines it as "(the) adaptation (of standard language) to the goals of making possible precise and rigorous, if necessary abstract, statements, capable of expressing the continuity and complexity of thought, that is, to reinforce the intellectual

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1 Bohuslav Havranek, "The Functional Differentiation of the Standard Language," in A Prague School Reader on Esthetics, Literary Structure, and Style, ed. Paul L. Garvin (Washington: Georgetown University Press, 1964), p. 3.

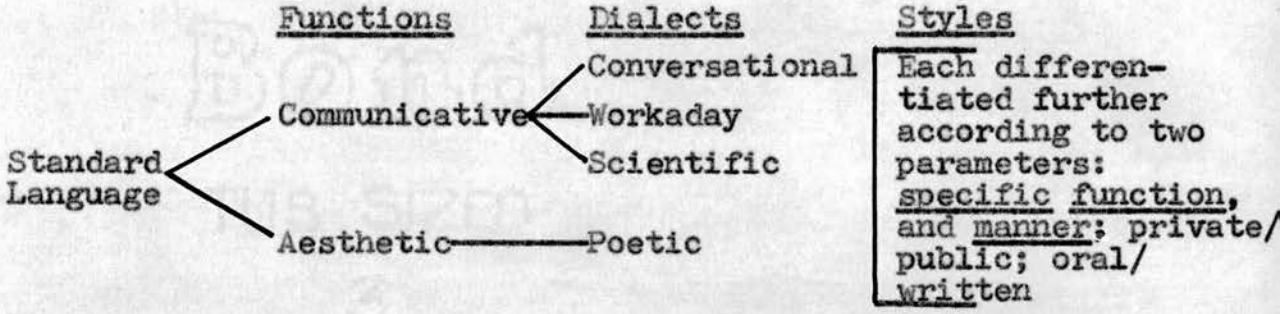
2 Ibid., p. 5.

side of speech."[1] Havranek defines the other two concepts in the following terms:

> By automatization we mean such a use of the devices of the language, in isolation or in combination with each other, as is usual for a certain expressive purpose, that is, such a use that the expression itself does not attract my attention... ... We call automatization what, in the cases of phrases, is sometimes called the lexicalization of phrases... ...By foregrounding, on the other hand, we mean the use of the devices of language in such a way that this use itself attracts attention and is perceived as uncommon, as deprived of automatization, as deautomatized, such as a live poetic metaphor (as opposed to a lexical one which is automatized).[2]

The focal point of theoretical interest in the work of Havranek and Mukarovsky, to whom we shall come back later, is in the differentiation of the standard language into several functional dialects on the basis of their functions. Havranek makes a basic distinction in the language functions:

Figure 4



The functional dialects which serve communicative function are differentiated from the poetic dialect, because as Havranek says, "there is an essential difference between the first three functional dialects listed which are always used to communicate something (have a communicative function) and between poetic language which is not primarily communicative."[3] Without trying to trace too many parallels with

1 Havranek, in Paul L. Garvin, p. 6.
2 Ibid., pp. 9-10.
3 Ibid., p. 15.

Charles Bally, once again one might see that the Prague linguists posit a division between the language of communication and the language of poetry. While the language of science serves as the paradigm of intellectualized functional dialect, the language of poetry serves as a unique illustration of foregrounded standard language. An interesting feature of Havranek's early work, from the point of view of stylistics, is the differentiation, not only between functional dialects, but also between functional styles within each dialect. The differentiation is to be worked out on the basis of two parameters: 1. the specific purpose of the response (i.e., information, persuasion, explanation, exposition, formulation etc.,) and 2. the manner of the response (i.e., private/public; written/oral). Havranek's paper may be said to have laid down, in an embryonic form the notional framework of the distinction between general stylistics and literary stylistics. Above all, it anticipates the work of British linguists on varieties differentiation and register analysis, particularly the work of Spencer, Gregory, Crystal and Davy.

4.2.4 Between Havranek and Mukarovsky the communicative and expressive uses of language were studied, and what appears as the first systematic theorization of the concept of 'style' and of poetic language structure was incorporated within linguistic theory by the Prague linguists. Havranek's paper is devoted to an elaborate differentiation of the standard language in terms of functions, dialects and styles. He barely touched on the question of poetic language. It was, however, Mukarovsky who, in a paper

called "Standard Language and Poetic Language" (1932), takes up the problem of relationship between the two and their prominent linguistic features in terms of functions as well as the devices used in order to serve these functions. Mukarovsky's contribution lies in formulating a lucid and systematic statement on the nature of poetic language and its continuity and discontinuity with the standard language in terms of functions and devices of these languages. Mukarovsky takes up this problem with a characteristic clarity of definition:

> Poetic language is not a brand of the standard. This is not to deny the close connection between the two, which consists in the fact that, for poetry the standard language is the background against which is reflected the aesthetically intentional distortion of the linguistic components of the work, in other words, the intentional violation of the norm of the standard.[1]

It is interesting to note that this problem of relationship between poetic and standard languages comes up again and again from Charles Bally to Sol Saporta, but while Bally saw the aesthetic intention as a break in the linguistic continuum, obliging him to banish literary language from the study of la stylistique, Mukarovsky considers poetic language decodable in the background of the standard language alone because it functions by an "intentional violation of the norm of the standard." Mukarovsky uses function as a criterion to differentiate the poetic language

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1 Jan Mukarovsky, "Standard Language and Poetic Language," in Paul L. Garvin, p. 18.

from the standard language. The function of poetic language is not communicative, not primarily communicative: it is aesthetic. Mukarovsky isolates two features of poetic language as its hallmark: 1) it violates the norm of the standard, and 2) the violation or distortion of the standard is intentional. This is what Mukarovsky calls 'foregrounding':

> The function of poetic language consists in the maximum foregrounding of the utterance. Foregrounding is the opposite of automatization, that is, the deautomatization of an act; the more an act is automatized, the less it is consciously executed; the more it is foregrounded, the more completely conscious does it become... ... In poetic language foregrounding achieves maximum intensity to the extent of pushing communication into the background as the objective of expression and of being used for its own sake; it is not used in the services of communication, but in order to place in the foreground the act of expression, the act of speech itself.[1]

Mukarovsky's notion of 'foregrounding' is crucial to the understanding of poetic structures from the linguistic point of view, because he conceives it as an essentially 'dialectical' structure, i.e., synthesis of thesis and antithesis, of the marked and the unmarked, the foregrounded and the unforegrounded. It is the mutual relationships of these components of the work of poetry which constitute its structure including both convergence and divergence. The traditional aesthetic canon and the norm of the standard language function as the unforegrounded background in this dialectical-structural relationship. Mukarovsky argues that "distortion of the norm of the standard is the very essence of poetry." The significance of Mukarovsky's work

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1 Jan Mukarovsky, "Standard Language and Poetic Language," in Garvin, p. 19.

lies in the fact that it has enabled the later analysts of poetic style to focus their attention on specific devices and structures which are functionally contrasting within the work in question as well as outside it. The notion of foregrounding relates the work to the linguistic and aesthetic norms outside itself by interrelating them with the linguistic and aesthetic norms achieved within each poetic work. Thus the concepts of norm and deviation, of convergence and divergence, of marked and unmarked features of style are already being formulated by the Prague linguists--though some of these notions emerge only by implication rather than in explicit terms. The credit of attempting to incorporate the theory of language variation, poetic style and structure into a linguistic theory goes, without any doubt, to the Cercle Linguistique de Prague and to Havranek and Mukarovsky, in particular.

4.2. American Structural Linguists and Style

4.2.1 A fair summary of the American scene between the 1920s and the early 1950s is to be found in the following statement by Nils Erik Enkvist

> Even if the word 'style' itself is conspicuously absent from Bloomfield's classic Language, many American structuralists have spoken and written about it.[1]

It is interesting to note that Sapir devotes the last chapter of his book Language (1921) to a discussion of "Language and Literature," but he has hardly anything to say on style except that,

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1 Nils Erik Enkvist, "On the Place of Style in Some Linguistic Theories," in Literary Style: A Symposium, ed. Chatman (London: OUP), p. 51.

> The structure of the language often forces an assemblage of concepts that impresses us as a stylistic discovery... ... The major characteristics of style, in so far as style is a technical matter of the building and placing of words, are given by the language itself, quite as inescapably, indeed, as the general acoustic effect of verse is given by the sounds and natural accents of the language... ... It is not in the least likely that a truly great style can seriously oppose itself to the basic form patterns of the language. It not only incorporates them, it builds on them.[1]

Sapir's position in relation to style may best be characterized as a form of Whorfian hypothesis applied to style. Style-features may be language-specific; this helps to explain why a Hopi text is quite different from a French or English or German one, but this is hardly the explanation for numerous varieties of ways in which French or English writers write their language. Sapir explains why a system differs from another as differences between two superordinate systems, but he was little bothered by the question: why styles differ <u>within</u> a superordinate system or why there are differential uses of the same system? In comparison, another founding father of American structural linguistics, Bloomfield, had a limited interest in literature in that he mentions it merely to dismiss it:

> The linguist... ...studies the language of all persons alike; the individual features in which the language of a great writer differs from the ordinary speech of his time and place interest the linguist no more than the individual features of any other person's speech, and much less than the features that are common to all speakers.[2]

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1 Edward Sapir, <u>Language: An Introduction to the Study of Speech</u>, (London: 1970), pp. 226-228.
2 L. Bloomfield, <u>Language</u> (London: 1933), pp. 21-22.

Bloomfield cast a long shadow over American linguistics, and the so-called 'post-Bloomfieldian' school, which culminated in Zellig Harris's Methods in Structural Linguistics (Chicago: 1951), dominated the theoretical and descriptive work in the 1940s and the early 1950s. The post-Bloomfieldians were preoccupied with what Enkvist calls "the shallow end of the linguistic pool, the phonemes, morphemes, morphological patterns, and the like."[1] However, scattered among their numerous works are some statements on style--though few and far between--which, when collated together, help us to visualize the status of the concept of style in their theoretical framework. Given below are three such well-known statements:

1. The style of a discourse is the message carried by the frequency distributions and transitional probabilities of its linguistic features, especially as they differ from those of the same features in the language as a whole.[2]

   Bernard Bloch (1953)

2. Typical stylistic relationships show themselves in the repetition of formal patterns from one sentence to the next.[3]

   Archibald A. Hill (1956)

3. Two utterances in the same language which convey approximately the same information, but which are different in their linguistic structure, can be said to differ in style.[4]

   Charles F. Hockett (1958)

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1 Nils Erik Enkvist, in Literary Style: A Symposium, ed. Chatman, p. 50.

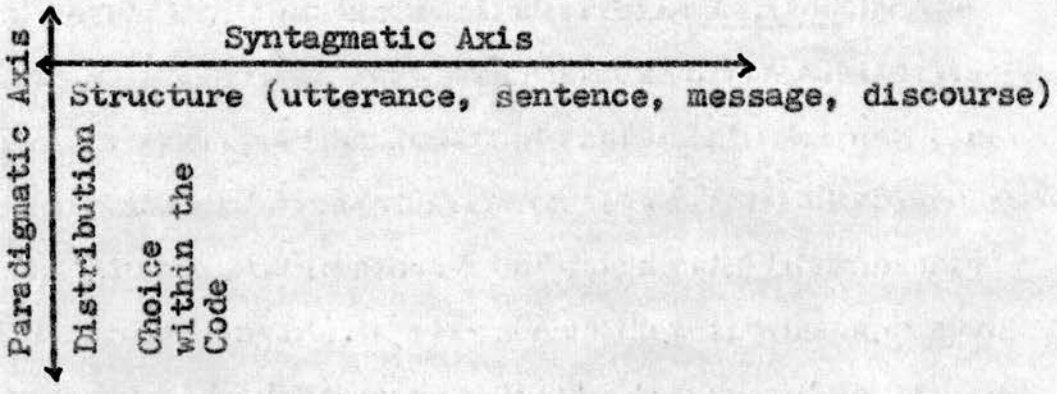
2 Bernard Bloch, "Linguistic Structure and Linguistic Analysis," in Report of the Fourth Round Table Meeting on Linguistics and Language Teaching, ed. Hill (Washington: Georgetown University Press, 1953), pp.40-44.

3 A.A. Hill, "Pippa's Song: Two Attempts at Structural Criticism," in Readings in English Applied Linguistics, ed. Allen (New York: Appleton, 1956), p. 403.

4 C.F. Hockett, A Course in Modern Linguistics (New York: Macmillan, 1958), p. 556.

In the three statements on style, given above, there are two sets of primary structuralist notions implied by the linguists. The first set is the notion of distribution (Bloch's 'frequency distributions' and Hill's 'repetition of formal patterns') and the notion of differentiation (Bloch's 'linguistic features' and Hockett's 'different linguistic structures'). The second set is the notion of structure (Bloch's 'discourse, Hill's 'sentence' and Hockett's 'utterance'). The domain of style is not so much one of a single utterance, but of discourse. Hypothetically, a single utterance does not have a style unless it is contrastive with other utterances within the language system all with the same message. Although syntagmatically it is unrelated with the stylistically contrastive alternatives, it is paradigmatically related in terms of the rest of the system. The point is that the two sets of notions underlying the above statements on style, i.e., distribution/differentiation and structure are ultimately derived from the basic structuralist parameters in linguistic theory: syntagmatics and paradigmatics. Both distribution and differentiation operate on the paradigmatic axis, while structure operates on the syntagmatic axis. How these parameters function in the structuralist view of style can be shown by the following figure:

Figure 5



Although, as we said earlier, the formulations are extremely sketchy the American structural linguists have furnished, as is obvious from the above discussion, some of the most powerful concepts in stylistic theory. Style cannot be studied without an *in absentia* paradigmatic relationship of a discourse with the rest of the language system, nor can it be analyzed without an *in praesentia* syntygmatic relationship within the discourse structure. The first leads us to a study of distribution of linguistic features in a text; the second to the study of these features in the structuring of the text. Distributional analysis has always remained a favoured one among the methods of American structural linguists. Distributional analysis has its limitations, but this does not invalidate the status of notions such as distribution, differentiation and structure—all of which appear to be now part of the stock-in-trade of several models of stylistic analysis. From phonemes to discourse the American structuralists have successfully applied the distributional analysis as a 'discovery procedure' or as a framework of procedural linguistics. Although they have not produced any impressive body of work

on stylistics as such, it helps the student of style to "place" the notion of style in the perspective of linguistic theory. This is, perhaps, what Hill meant when he wrote that the function of stylistics is "to reduce the area of linguistic arbitrariness by explaining as much as possible of linguistic variation."[1] No matter whether one approaches style as choice or as deviation, the notions of structure, distribution and differentiation or variation enable us to reduce "the area of linguistic arbitrariness" and explain the style phenomenon as systematic linguistic variation.

4.3. The Concept of Style in Neo-Firthian Linguistics

4.3.1 When Robins wrote his paper "Linguistics in Great Britain 1930-60"[2] he concentrated almost entirely on the work of Daniel Jones, Malinowski and J.R. Firth. This was reasonable because before 1960 (the date of Firth's death), Firth was linguistics in Britain. Firth held that the principal task of the linguist was to give an account of the meaning of language, and meaning, he said, was communicated by the entire range of interlocking systems and structures at all levels of analysis phonetic as well as grammatical, lexical as well as situational. The object to be studied in linguistics, according to Firth, is "language in actual use," since "using language is one of the forms of human life, and speech is immersed in the

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1 A.A. Hill, Introduction to Linguistic Structures (New York: 1958), pp. 406-9.

2 R.H. Robins, "Linguistics in Great Britain 1930-1960," in Trends in Modern Linguistics, ed. Mohrmann and Sommerfelt (Antwerp: 1963).

immediacy of social intercourse," Firth believed that

> (Meaning) can be described as a serial contextualization of our facts, contexts within contexts, each one being a function, an organ of the bigger context, and all the contexts finding a place in what may be called the context of culture.[1]

Halliday's work comes closest to being what one might call Neo-Firthian linguistics, because of the explicit appeal he makes to this basic idea of Firth. Those who see Halliday as continuing Firth's approach do so because of the centrality given to the notions of system and structure, and to the study of language in use in what is often called the 'sociological' approach to language. The question, however, is: where does the concept of style come in Neo-Firthian linguistics? In the early work of Halliday, and of Halliday, McIntosh and Strevens the status of the concept of 'style' is, at best, ambiguous. While 'style' is used as one of the dimensions of register classification i.e., as 'style of discourse,' 'stylistics' or 'linguistic stylistics' is used as "the description of literary texts, by methods derived from general linguistic theory, using the categories of the description of the language as a whole." As one of the three dimensions of register classification Halliday et al. tell us that "the participant relations... ...determine the style of discourse" i.e., whether the style is colloquial, formal, casual, intimate, or deferential will depend upon what "the socially defined relations" are between the participants. McIntosh presents the contextualist position when he argues in "Some Thoughts on Style"

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1 J.R. Firth, Papers in Linguistics 1934-51 (Oxford: 1957), p. 32.

> Problems of style involve us in the close observation of longer and shorter stretches of text in relation to some live situation in which they as it were have their existence.[1]

Style in this view becomes a part of social decorum or of situational appropriacy. McIntosh's example, "Well, friends, I'd better get cracking" would be stylistically suitable in certain contexts, but inappropriate in a formal lecture. Where ambiguity lurks in this approach is in its application to the literary texts. Halliday et al. seem to imply that when one is describing the non-literary texts in terms of register classification 'style' is contextually determined, but when one is analyzing the literary texts 'style' is co-textually determined because the literary texts create their own contexts. In other words, style in literary texts is a local, textual and linguistic phenomenon, but style in the non-literary texts is a global, contextual and sociolinguistic phenomenon (in that it is determined by the socially defined relations between the participants in a live situation). McIntosh, among others, is not unaware of this anomaly in their position. For instance, in the same paper he writes

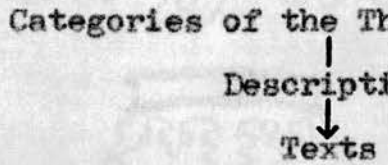
> It tends to be precisely in those cases where we most feel the need for some kind of high-powered method of stylistic evaluation that we find that the extra-textual elements in the total situation offer us the least orientation and guidance.[2]

The lines dividing 'linguistic description' and 'register analysis' on the one hand, and 'linguistic description,' 'stylistic analysis,' and 'register analysis,' on the other

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1 Angus McIntosh, "Some Thoughts on Style," in Patterns of Language (London: Longmans, 1966), p. 83.
2 Ibid., p. 90.

are not particularly clear in the works of Halliday and his associates. That this has a direct implication for the theoretical status of the notion of style should be clear. If both register analysis and stylistic analysis are part of the descriptive application of the categories of the theory of grammar, no more and no less, then there is no theoretical validity of the notions of register and style as distinct from 'linguistic description,' which is regarded by early Halliday as application of the theory to the data (i.e., language events, texts). Is style a separate hierarchic level of language? If it is not, the distinction between stylistic analysis and linguistic description on the one hand and register analysis and stylistic analysis on the other is merely a matter of convenience in Hallidayan linguistics. In early Halliday, theoretically speaking, there are only three levels:



yet when the texts in question are un-restricted language events the activity is called linguistic description or simply description; when they are restricted language events it is called register classification, and when the texts are literary in nature it is called stylistics or linguistic stylistics. If one takes this 'applicational' approach to texts or literary texts, in the Hallidayan theory, grammar alone has the status of 'theory'--the other notions such as register, style, text, discourse etc., belong to a lower

hierarchy which may be regarded as operative rather than theoretical. They are a part of the first-degree meta-language rather than of the second-degree metalanguage.

4.3.2 In the linguistic analyses of style inspired by the work of Firth, Halliday and his associates the two key notions related to style are 1. Variety, and 2. Context. While everyone seems to derive his approach to style from these related notions there is no consensus of agreement on, for instance, what precisely constitutes the context of a text. Context can mean any one of the following a) the intra-textual relations (the interrelationship of different linguistic forms within a text); b) Inter-textual relations (the interrelationship of different linguistic forms within and outside the text); and c) Extra-textual relations (the functional relationship of the message and the situation; the social relations between the speaker and the hearer). In Halliday et al. (1964) 'style of discourse' is proposed as one of the three dimensions of register classification, and it is said to be determined by "the participant relations," in which case the context of a text, in terms of stylistic variables, is provided by extratextual relations. Halliday et al. and Peter Strevens in his paper "Varieties of English"[1] are basically concerned with a stylistic cline along a classified system of decorum with 'frozen style' in Martin Joos's sense[2] at the top and 'intimate' or even

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1 Peter Strevens, "Varieties of English," Papers in Language & Language Teaching (London: OUP, 1965), pp. 74-86.
2 Martin Joos, "The Isolation of Styles," GeorgeTown Monographs 12 (1961), pp. 107-113.

'vulgar style' at the bottom. This approach to 'isolation of styles' assumes that the social scale of participant-relations is always available as an index to the making of a text or discourse. One has only to take a look at literary writing to realize how the participant relations can be ambiguous and deviant. In literary texts the participant relations might suggest no clue to the style of the discourse as such. To get round this problem, Spencer and Gregory suggest that,

> A literary text may be said to have a context of situation in the sense in which it was understood by Firth... ... The personal, social, linguistic, literary, and ideological circumstances in which it was written need to be called upon from time to time when any serious examination of a literary text is being made... ... Recourse to factors such as these may be termed cultural contextualization.[1]

Spencer and Gregory propose that, apart from cultural contextualization, immediate intratextual context and accumulated intratextual context be both taken into consideration in stylistic analysis and that both of these be considered part of the total intratextual context. In the same publication, another paper, "On Defining Style," by Enkvist gives what he calls a "very tentative illustration" of "lists of features in the contextual spectrum." Enkvist divides the contextual spectrum into two broad headings: 1) textual context, and 2) Extratextual Context. The textual context is sub-divided into linguistic frame and compositional frame; the extratextual context, on the other

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1 John Spencer and Michael Gregory, "An Approach to the Study of Style," in Enkvist, Spencer and Gregory, Linguistics and Style, (London: OUP, 1964), p. 100.

hand, is subdivided into several sub-headings such as, period, type of speech, speaker/writer, listener/reader, relationships between them and in terms of sex, age, familiarity, education, social class, and status, common stock of experience, context of situation and environment; gesture, physical action; dialect and language.[1] In reproducing Enkvist's list what one cannot avoid apprehending is the innate difficulties in attempting to describe style in terms of the contextual spectrum which is essentially an intuitive classificatory system. To classify all categories of context a priori may be, as Enkvist says, impossible, but it may be theoretically desirable to delimit what one needs to include in the primary category of the context of situation. In this respect Firth seemed to be more explicit than the Firthians, because the former says,

> A context of situation for linguistic work brings into relation the following categories:
> A: The relevant features of participants: persons, personalities
> (i) The verbal action of the participants
> (ii) The non-verbal action of the participants
> B: The relevant objects
> C: The effect of the verbal action[2]

4.3.3 Intimately related with the notion of context is the notion of variety in the Neo-Firthian approach to style. All concepts of style involve a consciousness of norms and the possibility of departures from them. Defining norm or norms using the entire language is not only a formidable task but also theoretically objectionable, because

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1 Nils Erik Enkvist, "On Defining Style," in Enkvist, Spencer and Gregory, pp. 30-31.

2 J.R. Firth, "Personality and Language in Society," in Papers in Linguistics 1934-1957 (London: OUP, 1957), p.182.

> Every language exists, not as a single, uniform institution, but as a constellation of varieties,[1] each functioning in a particular way.

It is on the basis of the contextually related norms that the Neo-Firthians propose to approach style. In other words, style in this approach becomes a differential use, not of the language system as a whole, but of the contextually related norm of a variety. The departure is from a contextual variety rather than from the language system as an entirety, because the entire system is conceived of as a constellation of situationally determined varieties each of which has a norm--a system unto itself. It is in this sense of a triangular relationship between the context, the norm of a specific variety, and departure from that norm that Enkvist defines style of a text as

> the aggregate of the contextual probabilities of its linguistic items.... To measure the style of a passage, the frequences of its linguistic items of different levels must be compared with the corresponding features in another text or corpus which is regarded as a norm and which has a definite contextual relationship with the passage.[2]

Enkvist's definition of style typifies the approach to style inspired by the work of Firth. While Enkvist on the one hand and Spencer and Gregory on the other may be said to have established a set of seminal ideas in Neo-Firthian stylistics, the elaboration and application of these ideas are taken up by Crystal and Davy in their work Investigating English Style (1969). The work of Crystal and Davy is, however, only marginally relevant to the present study in

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1 Peter Strevens, "Varieties of English," p. 79.
2 Nils Erik Enkvist, "On Defining Style," pp. 28-29.

that they are concerned with texts in general rather than with literary texts in particular. The domain of their work is 'varieties of English' and the formal linguistic features which characterize these varieties and restrict their use to certain kind of social contexts. According to Crystal and Davy

> the aim of stylistics is to analyze language habits with the main purpose of identifying, from the general mass of linguistic features common to English as used on every conceivable occasion, those features which are restricted to certain kinds of social context; to explain, where possible why such features have been used, as opposed to other alternative; and to classify these features into categories based upon a view of their function in a social context.[1] (My emphasis)

From the above statement two aspects of the Crystal and Davy approach to style become clear: 1. Crystal and Davy are interested in the identification, explanation (where possible) and classification of style "features," and 2. they propose to do this in terms of the restriction of those features to certain kinds of social context. They define "stylistically significant" or "stylistically distinctive feature" as "a feature, when it is restricted in its occurrence to a limited number of social contexts."[2] Thus in Crystal and Davy's terms 'style' becomes a contextually or situationally determined variant or differential use of the language system. The importance of the notion of 'situation' is, therefore, indisputable in this approach. They define 'situation' as

> that sub-set of non-linguistic events which are clearly

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1 David Crystal and Derek Davy, Investigating English Style (London: Longmans, 1969), p. 11.

2 Ibid.

> relevant to the identification of the linguistic feature(s).[1]

and that

> in this narrow sense <u>situation</u> is not intended to include everything non-linguistic which exists at the time of using the linguistic feature(s).[2]

But what, precisely, is that sub-set of non-linguistic events which are clearly relevant to the identification of the stylistically significant features? In Chapter 3 of their book Davy and Crystal break down the notion of situation into "dimensions of situational constraint"—eight in all, grouped into three broad types:

A. Individuality
   Dialect
   Time

B: Discourse
   a) Medium (speech/writing)
   b) Participation (monologue/dialogue)

C: Province: (specific occupation of the user)
   Status (social relationships between the participants)
   Modality (the purpose in mind—Message-form determined by
   Singularity (idiosyncracy, if any)

Since the work of Crystal and Davy is the best available example of the situational approach to style it may not be out of place to note, briefly, how they propose to proceed with the analysis of the stylistic structure of a text. First they propose an intuitive selection of a linguistic feature and then to allocate the feature to a particular level of analysis (phonological, grammatical, lexical, etc.). Secondly, the feature is to be allocated to one or other of the above "dimensions of situational constraint." Thus

> There are two distinct places where stylistic decisions enter into the analysis: at the beginning, when they may be used intuitively, as the motivation for selecting

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1 Crystal and Davy, p. 11.
2 <u>Ibid</u>.

> a text and a set of linguistic features to talk about; and at the end, when the aim is to formalise intuitions by establishing the entire range of linguistic correlates, and by pointing to the pattern which is felt to be there.[1]

From the above it appears that the approach proposed by Davy and Crystal is not only operational but intuitive, i.e., what they are, in fact, proposing is that a set of linguistic features is intuitively selected in the first place, and then these features are to be allocated to one or other interlinked nature of "dimensions of situational constraint" in a post hoc fashion. Questions such as the discrete or interlinked nature of these "dimensions" seem to be much less relevant than an apparently arbitrary cut that Crystal and Davy make between the two levels of analysis: linguistic and stylistic. We say 'arbitrary' because the only motivation for the assignment of a feature like he'll to grammar at the linguistic level and to an 'informal' sub-head under the dimension of status at the stylistic level, seems to be the desire of Crystal and Davy to resist what they call "an undesirable conflation of the notions of stylistics and linguistics." Like early Halliday they insist that the procedures for stylistic analysis are "no different from those made use of in any descriptive linguistic exercise."[2] In fact, they go further and declare that

> Ultimately, we would expect any descriptively adequate grammar to incorporate as part of its rules, all stylistically significant information.[3]

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1 Crystal and Davy, pp. 87-88.
2 Ibid., p. 60.
3 Ibid., p. 60.

Crystal and Davy's decision to consider stylistically significant features at two levels shows that this has not yet been achieved by the available models of linguistic description, and that the situational categories that they postulate as variants at the stylistic level have not only an ad hoc quality about them: they seem to have been arrived at in an intuitive manner.

4.4. The Concept of Style in Transformational-Generative Grammars

4.4.1 The transformational-generative linguists, as we shall see in Chapter VII, arrived at the concept of style by following two separate courses. If we define the descriptive adequacy of a grammar in terms of the incorporation of all stylistically significant information as part of its rules, as Crystal and Davy required, there is no component in transformational-generative grammars or in any grammar for that matter, which fulfils this requirement. However, what the transformational-generative linguists have actually done is to examine the adequacy of the deep structure rules of the grammar (such as sub-categorization and selectional restrictions) to explain the phenomenon of dysgeneration in the grammar. Secondly, they propose to examine the stylistically significant surface alternatives available in terms of the rule typology of the transformational operations on a given deep structure. Finally, they show the relevance of 'stylistic transformations' (such as particle movement, transposition, as distinct from 'syntactic' ones--such as passivization, relativization,

nominalization etc.) for the formulation of the notion of style in generative grammars. The 'generative' linguists have isolated grammatical deviation as a stylistic feature/device. Taking grammar as the norm they approach style as deviation from the norm of the grammar. Their approach to style may be conflated with all those which approach it in terms of the norm-versus-deviation approach (such as the Neo-Firthian approach). The difference is that while the generative linguists consider the grammar as the norm (i.e., grammar as a global algebraic system of explicit formal rules), the Neo-Firthians approach the stylistic deviation in terms of the contextually determined local norms and the language system as a constellation of such local norms. The generative linguists take style as observable gaps in the generative capacity of the rules of the grammar. In this sense, style is outside the scope of generative grammars. It belongs to the performance phenomenon, not to the competence of a native speaker-hearer. However, if as Katz and Postal write

> A linguistic description of a natural language is an attempt to reveal the nature of a fluent speaker's mastery of that language (such a description should) enable the linguist to explain sentence use and comprehension in terms of features of this structure.[1]

style and comprehension of the stylistically marked features are an integral part of "the nature of a fluent speaker's mastery of that language." This ability may not be amenable to formalization in terms of an explicit system of

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1 Jerrold J. Katz and Paul M. Postal, An Integrated Theory of Linguistic Description (Cambridge, Mass.: 1964), p. 1.

rules, but competence, particularly if it is to explain the use and comprehension of a language, must embrace the native speaker's ability to recognize the stylistic features of a text written in his language. The grammatical structure of a text may be perfectly comprehensible to an outsider but its stylistic values may completely elude him. Within a generative framework the deviationist approach to style confines the concept entirely to each specific formal rule of the grammar. Thus in some sense the notion of style is peripheral in generative grammars: it is an area where the observed language features rejected by the device of grammatical rule or rules are deposited. The generative linguists who took up to consider style have done so with a view to formalize the dislocations in the grammatical device. Hypothetically speaking, had the generative grammar no "leakage," had the grammar been much more predictive (in the sense that its rules generate all observed linguistic data including such strings as he danced his did and a grief ago), 'style' would have been an additionally peripheral area of interest to the generative linguists. In fact, it would have been a problem which lies outside the scope of generative linguistics: it would have been a matter of surface reordering of the grammatical transformations. This is probably what Chomsky had in mind when he wrote

> In general, the rules of stylistic reordering are very different from the grammatical transforms, which are much more deeply embedded in the grammatical system. It might, in fact, be argued that the former are not so much rules of grammar as rules of performance.[1]

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1 N. Chomsky, Aspects of the Theory of Syntax (Cambridge, Mass.: MIT Press, 1965), p. 127.

Style is viewed by the transformationalists such as Ohmann and Hayes (as distinct from the generativists such as Levin, and Thorne) as the differential surface output of the transformational operation (i.e., both the rules of stylistic reordering and the grammatical transforms in Chomsky's sense) on the same deep semantico-syntactic structure. Style in their view is an output of the transformational rules and the surface options made available by these rules in terms of what Chomsky calls the grammatical transforms as well as the rules of stylistic reordering. In this approach it is possible to view the transformational component of the grammar as a two level device consisting of a set of alternative rules (such as various forms of nominalisation, relativization, passivization, embeddings) on the one hand, and a set of rules of stylistic reordering on the output of the former operations, on the other. The difference between the grammatical transformations and the stylistic (reordering) transformations or rules is that the latter is not a part of the grammatical system. The constraints on the variables in stylistic reordering rules are not a part of syntax, i.e., of the closed system of rule-options in the grammar. Stylistic reordering rules can operate even after the options in the grammar are exhausted. After having drawn the distinction between the two, it must be pointed out that the alternative rules in the grammar as well as the rules of stylistic reordering can both be seen as part of 'the style potential' of a language. The consequences on the surface organization of an output string allow a

system of differential options. It is precisely in these terms that the transformationalists visualize the concept of style. For them style is, then, a feature or features in the organization of the terminal string of a transformational grammar wherever these features can be comprehended within alternative transformational rule and/or rules of surface reordering. What is of interest here is that transformational-generative grammars seem to give rise to two fundamentally diverse notions of style: i.e., style as surface options and style as deviation from the norm of grammar. They represent the two paradigms of all or almost all notions of style in contemporary linguistics, and the fact that both should co-exist within a common theoretical framework is something unique about transformational-generative grammars. How actual pieces of text are analyzed within these frameworks will be discussed later in this work; here we are interested in the status of the notion of style in linguistic theory. In so far as Chomsky and his associates are concentrating on a theory of language which excludes performance from their theoretical preoccupation, style is unlikely to attract much of their attention. No matter whether the linguist considers style as variation (a concern of sociolinguistics), as choice (a concern of rhetoric), as convergence of the resources of the code in the production of actual message (a concern of stylistics), or as deviation from the norms of the grammar (a concern of generative grammars), style exists in a universe where the language system is no longer an abstract formal system, but

something in operation or use in the production of actual messages. Style belongs not only to the message: it belongs to the universe where the differential use of the code in the production of actual messages is the only status of the code. This is, therefore, quite different from what Chomsky described, in a famous statement as the concern of linguistic theory: the linguistic competence of an ideal speaker-listener, in a completely homogeneous speech-community, who knows his language perfectly. Grammar is an inflexible or invariant system, style is a flexible or variant phenomenon. Linguistic theory, in Chomsky's sense, is concerned with the ideal speaker-listener's perfect knowledge of his language. This would include the native speaker's perfect mastery of the syntax of his language, but would that knowledge also include his ability to discriminate between two stylistic variants of the same text? These variations between performances are a function of style. Chomsky and his associates rule out from linguistic theory the study of language except as a "system of abstract objects."[1] It is not feasible to incorporate the notion of style into such a theory of linguistic description which regards language as a system of abstract objects or matrices of rules. If we consider each transformational rule as a matrix for stylistic variables it does not take us very far because in the grammar the difference between a nominalization transformation and a

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1 Jerrold J. Katz and Paul M. Postal, An Integrated Theory of Linguistic Descriptions (Cambridge: Mass, MIT Press, 1964), p. ix.

relativization rule is simply a difference in rule typology. But between these two rules the grammar, drawing upon the choices available in the lexicon, can generate thousands of stylistically variant terminal strings.

4.5. Style in Language

4.5.1 In this study the term 'general stylistics' will be used as a global subject. The validity of using the term 'general stylistics' in the global sense is that it helps us to distinguish the universe of discourse within which it is to operate. At the same time, we can reserve the term 'literary stylistics' for a much more specialized universe of discourse. The justification for using the term 'general' is that all speech events have style. There is no such thing as styleless language--except in a decontextualized, standardized and idealized form in which the linguist studies it as a formal system. All language is used in specific communication situations and all language has functional and conventionalized variations--the so-called "verbal repertoires", for example. The statement that all language has style is valid only at the macro-level of linguistic analysis, not at the micro-levels. Thus if we take a distributional approach to stylistic analysis we would soon discover that style is not a segment in isolation or a discrete level although one could, perhaps, talk of a "stylistically marked" feature at any one level of linguistic analysis. The "markedness" of the feature is, however, not a context-free inherent and discrete one. A stylistically marked feature in one context may be a neutral

one in another. Thus, there is more than one reason for not regarding style either as a discrete level or as a discrete segment of linguistic structure. In the statement "all language has style" the word "language" is to be understood not as a substitute for the code, but for the use of the code in the production of a message. In a modified form the statement would be: all message or message-types have style: there is no such thing as a styleless message. The term "general stylistics" can then be said to be a study of message-types. General stylistics is a species of macrolinguistics—a subdivision of linguistics or more specifically of socio-linguistics.

4.5.2 As a species of macrolinguistics, the scope of general stylistics may be said to be threefold: 1) the study of language units beyond a sentence. Here general stylistics trespasses across the frontiers of text-analysis, discourse analysis and traditional rhetoric. 2) The study of message-types (i.e., the deployment of the resources of a language code in the production of actual messages. Here general stylistics mediates between linguistic description and rhetorical analysis. 3) The study of language variation—in terms of choice, deviation or simply conventionalized as well as functional variation. Here general stylistics becomes a branch of sociolinguistics. In any one or all of these senses general stylistics operates on a level where the attempt is to extend the scope of the grammar. Hill is quite right in saying that

> The function of stylistics is to reduce the area of linguistic arbitrariness by explaining as much as possible of linguistic variation.[1]

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1 Archibald A. Hill, Introduction to Linguistic Structures (New York: 1958), p. 408.

To take the first of the three areas mentioned above, general stylistics studies linguistic units larger than a sentence. In studying the inter-sentential relations, its primary concern would, for example, be intra-textual patterns achieved in a particular unit of text under study. In doing so one of the assumptions is that style is a property of the message, not of the code. The code, by definition (i.e., as a repository of the signalling system) is stylistically neutral. These patterns could be studied at the formal level such as, for instance, Halliday and Sinclair attempted in their work, or they may be studied at the rhetorical level (i.e., in terms of coherence, patterning and development of an image, or a train of thought) such as attempted by Riffaterre in his analysis of Baudelaire's Les Chats. In this respect general stylistics can make use of the insights made available in the works of Harris, Hasan and Widdowson, among others, because all of them are preoccupied with the analysis of linguistic structures beyond the sentence, irrespective of the fact that their theoretical perspectives are very widely divergent. Harris and Hasan take grammar as their main framework for textual or discourse analysis, while Widdowson rejects the possibility of approaching inter-sentential relations in terms of the grammar. He takes an approach to discourse analysis which is a synthesis between rhetoric (Searle-Austin) and sociolinguistics (Hymes-Labov). Thus to him a text is a formal entity; a discourse, on the other hand, is a rhetorical one. The former is characterized in terms of cohesive devices the latter by coherence of the rhetorical

import of the discourse.[1] As a study of intratextual patterns and relations general stylistics will make use of both formal as well as rhetorical analysis, and the emphasis will depend upon the goals to be set up for stylistic analysis. If, for instance, a text is being analyzed to show the formal patterns and their unity in the making of the text, obviously a Harris-Hasan type approach is likely to yield the appropriate data. But, on the other hand, if the goal of general stylistic analysis is not only to classify, identify and examine formal patterns and relations in a text, but also to analyze it as a piece of communication, an approach such as postulated in Widdowson (1973) is likely to yield the necessary information on the text. This is particularly valid if we regard general stylistics as a study of message-types. But there is a certain justification in approaching a text in terms of formal analysis of intra-textual patterns if we regard general stylistics primarily as a study of such inter-sentential relations. But if we consider the scope of general stylistics to be the study of message-types, we cannot, without running the risk of a mechanical application of grammatical notions, approach types of text simply as formal objects with no communicative function. Analyzing texts as message-types involves analysis in terms of a communication situation where the code is merely one of the several determinant factors--the other factors being the addresser, the addressee, the context,

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1 H.G. Widdowson, An Applied Linguistic Approach to Discourse Analysis (unpublished Ph.D. Dissertation, University of Edinburgh, 1973).

the message, and the contact. In such an analysis the message or the text becomes not only a formal object, exemplifying the sign system of the code, but also a rhetorical unit--a kind of extended speech act. Numerous elements in the non-linguistic context will need to be taken into account if one were to analyze the text as a message-type, because the text assumes a social role as a communicative act--an extended speech act rather than a set of formally bound sentences. In this approach general stylistics becomes a study of extended speech acts, of rhetorical devices and choices which are made use of in producing texts. This is just as valid an approach to general stylistics as the approach which analyzes texts in terms of formally cohesive devices, equivalences and parallel structures. The difference is in the goals these approaches set up for stylistic analysis.

4.5.3 The scope of general stylistics, following the approaches mentioned above, can be considered as style in language to be studied as textual patterning or rhetorical unity in discourse. Here the notion of style is essentially centripetal--converging on patterns and relations, formal as well as functional. If the focus is on the formal relations and patterns style becomes a property of the text. If the focus, on the other hand, is on the functional relations and patterns, style becomes a property of the discourse or the message. Yet by far the most common view of the scope of general stylistics is to consider style in language, not as a convergence, but as a divergence phenomenon. Here the notion of style is centrifugal--as

option, choice, deviation etc. Fundamental to this notion of style are the concepts of language variation on the one hand and of the language norm, on the other. The two are interdependent. To take up the notion of the norm, there are two different views among the linguists as to what constitutes the norm of a language. According to some linguists (such as the generative grammarian) the grammar of a language is its norm and language variation is comprehensible in the theory only in terms of deviation from grammatical rules. This approach sets up what might be called global norms enshrined in a generative grammar of the language. The theory deals with an ideal native speaker-listener in a completely homogeneous speech community. Variations in language in terms of social space (occupational varieties) or physical space (regional dialects) on the one hand and the variations on the temporal scale (diachronic varieties) are also analyzed in terms of rules of the grammar i.e., as suspension, alteration and violation of the rules. According to other linguists (such as the Prague linguists and the Neo-Firthians) the varieties of a language as functionally differentiated language norms are comprehensible only in terms of local norms—determined functionally or contextually. They consider the notion of a global norm for a language as theoretically impossible to justify, because a variety of language conventionally used for one function or context cannot serve as the norm for another variety. Thus what is grammatical may not be contextually appropriate, and it is the contextual appropriacy which determines the norm, not just the grammaticality of the

utterance. In brief, the notion of variation presupposes the notion of the norm. The norm of a language is regarded as global by some and local by others. Those who regard it as global consider style in terms of grammaticality and general stylistics in terms of a "by-product of generative grammars." Those who regard the language norm as local, contextual or functional, consider style in terms of appropriacy and general stylistics as a study of choice, option or variation rather than of "deviation". But in either case style in language has no ontological status except as a centrifugal phenomenon, except as a correlate and variable of the norm. General stylistics, in this sense, may be regarded as a sub-division of sociolinguistics, i.e. a species of macrolinguistics which studies, not only units beyond sentence, but also deviant language species outside of the grammar.

4.5.4 The fact that style is not a discrete level of linguistic analysis is bound to have its repercussions on approaches to style in language. Style can be considered at once as a microlinguistic and a macrolinguistic phenomenon. In terms of the availability of choice phonology and lexical structure of a language represent two poles; there are more choices in the grammar than in the phonology, but fewer in the grammar than in the lexis. Style, if it is considered as options, choices or variations at each discrete level of linguistic analysis, is likely to loose its usefulness as a concept. Yet it is possible to study styles in terms of isolated phonological, grammatical, or lexical features. It is possible to study texts, non-

literary as well as literary, in terms of marked choices made in the phonological, grammatical, or lexical features. It is possible to study style in isolated texts, non-literary as well as literary, in terms of marked choices made at the phonological level.[1] Enkvist, among others, proposes to subdivide stylistics into two separate disciplines: 1. Microstylistics and 2. Macrostylistics. Microstylistics will concentrate on linguistic features at one or all levels of analysis--features, that is to say, which are part of a sentence. Macrostylistics will study patterns and relations in units beyond a sentence. In any case, style being a non-discrete level of analysis, stylistics can be regarded as an attempt at extending the scope of the grammar (in the sense which includes both phonology and semantics within it), because in studying style, one is attempting to systematize what Hill calls the area of "linguistic arbitrariness" by explaining it in terms of linguistic variation. While some linguists consider such a study as operating within a hierarchic universe with a global norm and individual deviant styles, other linguists consider style as operating within an egalitarian universe with local norms, and individually variant styles. Style in language is inconceivable in isolation from the notion of the norm no matter whether the norm is given outside the text or achieved within the text, no matter whether the norm is the grammar, the social conventions, or the intratextual patterns in the structure of the text.

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1 cf. Dell H. Hymes, "Phonological Aspects of Style: Some English Sonnets," in Style in Language, ed. Sebeok (Cambridge: Mass, MIT Press, 1960), pp. 109-131.

4.6. Style in Literary Texts

4.6.1 In "Stylistics, Poetics, and Criticism," Rene Wellek proposed that stylistics be "divided into two fairly distinct disciplines: the study of style in all language pronouncements, and the study of style in works of imaginative literature."[1] Since the early days of Charles Bally the linguistically-oriented students of style have nearly always been emphasizing the fundamental discontinuities between the literary language and the non-literary one. To Bally the gap was in the aesthetic intentionality of the language of literature where its marked difference from other language uses lay. The Prague School formalized the distinction between standard language and poetic language in terms of their function. "The function of poetic language," wrote Mukarovsky, "consists in the maximum foregrounding of the utterance."[2] More recently, linguists such as Leech proposed a 'sharp' differentiation between linguistic description and critical interpretation[3] or between stylistic analysis and literary interpretation in Widdowson's terms.[4] These attempts at distinction between standard language and literary language on the one hand and stylistic analysis and literary interpretation on the other

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1 Rene Wellek, "Stylistics, Poetics, and Criticism," in Literary Style: A Symposium, ed. Chatman (London: OUP, 1971), p. 65.

2 Jan Mukarovsky, "Standard Language and Poetic Language," in Linguistics and Literary Style, ed. Donald C. Freeman (New York: Holt, 1970), p. 43.

3 Geoffrey N. Leech, "This Bread I Break: Language and Interpretation," in Freeman, pp. 119-128.

4 H.G. Widdowson, "Stylistic Analysis and Literary Interpretation," The Use of English, Vol. 24, No. 1, pp.28-33.

are motivated by a) the theoretical need to keep intuitive terms like aesthetic value or purpose apart from the language phenomenon under study, and b) the practical need to keep a strictly descriptive operation apart from interpretative or evaluative activities. The latter belong to poetics and to the theory of literature and criticism; the former to literary stylistics--a strictly descriptive discipline aiming at the observation, classification, and characterization of linguistic devices and patterns used in imaginative works of literature. As Sol Saporta put it in a compressed statement:

> Terms like value, aesthetic purpose, etc. are apparently an essential part of the methods of most literary criticism, but such terms are not available to linguists.[1]

"The language of literature" is a difficult but useful term to justify in a theory of linguistic analysis, and most linguists seem to have got round the difficulty simply by considering it either as a deviant dialect or as a privileged one. The difficulty lies in the fact that unlike other regional, social or occupational dialects, literary language has no conventional norms of appropriacy. One can expect a certain kind of language in, say, a cookery book, but in a play or a poem it is the writer or poet who decides what to expect, not a tacit linguistic convention. Thus one suggestion is to consider the language of literature as "unconventional" or unconstrained by conventions of

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1 Sol Saporta, "The Application of Linguistics to the Study of Poetic Language," in Style in Language, ed. Sebeok (Cambridge, Mass.: 1960), p.83.

appropriacy and expectation. Even rules of the grammar are violated, and some of the central features of literary language (such as metaphor, conceit, personification) work by subversion and disruption of normal syntactic and semantic structures of the language. A contextualist approach to the language of literature is somewhat self-defeating, because as a form of communication there are gaps and deviations in the literary discourse. To mention just two such gaps, unlike in normal communication, the addresser and the addressee (a social relation) and the sender and the receiver (a linguistic relation) in the literary texts can be two distinct sets.[1] Secondly, there is no tangible context of a literary discourse. A poem or a novel has no context in the sense in which every real-life utterance has a context. Literature creates its own context. It is with some of these features in mind that some scholars have gone to the extent of considering these deviant features of communication "a defining feature of literature."[2] Equally acceptable as "a defining feature of the language of literature" (particularly poetic language) is what Halliday calls "deflections"—i.e., departures not in terms of the grammar, but in terms of some expected pattern of frequency, deviations which are not law-breaking, but deviations which are law-making (such as 'arrest' and 'release' in Sinclair's sense of the terms, or such as "My wine you drink, my bread you snap"—"my+noun+you+verb" in

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1 cf. H.G. Widdowson, "On the Deviance of Literary Discourse," Style, Vol. 6, No. 3 (Fall, 1972), pp. 294-306.

2 Ibid.

Leech's analysis of Dylan Thomas's "This Bread I Break"). Rhyme in a heroic couplet or couplings in a Shakespearean sonnet would, perhaps, be some of the most immediately available examples of deflection--both of which in normal communication would be highly deviant though grammatically well-formed. To sum up, "literary language" as distinct from "everyday language" or "standard language" in the Prague sense--is a theoretically defensible and practically necessary notion. The language of literature has at least the following definable features which distinguish it from everyday language:

1. In the literary language there is the maximum of foregrounding. (Mukarovsky). It projects the principle of equivalence from the axis of selection to the axis of combination. It is focussed on the message for its own sake (Jakobson).
2. Literary language works by abnormal elaborations of syntactic patterns and abnormal lexical collocations.
3. Literary language is aesthetically motivated (Bally).
4. Literary language is highly deflected. (Halliday, Sinclair).
5. Literary language, is, at times, grammatically and semantically deviant.
6. Literary communication has dual focus (Widdowson).
7. Literary communication creates its own context.

4.6.2 The brief discussion above makes it clear that the notion of literary language precedes the notion of literary texts or of literary style, and all these precede the notion of "literary stylistics". In terms like "literary language" or "literary stylistics" it is possible to overemphasize either its literary nature or its linguistic/language side. Thus, emphasizing its linguistic

side one might insist on the continuum of all language phenomena--literary as well as non-literary. Over-emphasizing the continuity would, in turn, suggest an approach to literary stylistics which takes an applicational view of it: "Linguistic stylistics is an application rather than extension of linguistics," as Halliday puts it in an early paper. Applicational works on stylistics are invariably of a taxonomic nature suggesting at times that the method might take over the subject in the long run. In the same paper Halliday isolates "the special property of literary language" as "the patterning of the variability of (textual) patterns," which is what Roman Jakobson meant by "focus on the message" or what Mukarovsky meant by "the maximum foregrounding of utterance." However, the crucial difference between Halliday and Jakobson or Mukarovsky appears to be the fact that Halliday concentrates on the code while Jakobson and Mukarovsky seem to assign it a communicative role (as message or utterance). On the other hand, if the emphasis is on the literary aspect of the literary language, literary stylistics is likely to focus on the discontinuities between language and literature, between standard language and poetic language. Thus an example of such an approach, which takes syntax as its parameter, is Thorne's work on e.e. cummings's poem anyone lived in a pretty how town, where Thorne proposed that the poem should be regarded as a separate dialect and that a fresh set of rules should be written for its grammar. In setting up literary stylistics as a sub-division of general stylistics, a sub-division concerned primarily with enquiry

into the nature of literary language, its structure and style, it should be the objective of such a study to consider that

1. as language literary language is both continuous as well as discontinuous with ordinary language
2. but as literature it is discontinuous with ordinary language, and
3. style in literary language is comprehensible only in terms of a global concept of style in language.

Without such a set of postulates "literary stylistics" would become an exercise in methodological trivialization of the theory of linguistic description. Just as literary language is comprehensible only in terms of ordinary language, literary style is comprehensible only in terms of style in language, and literary stylistics in terms of general stylistics. In setting up literary stylistics as a subdivision of general stylistics one important assumption is that an analysis of literary texts in terms of literary stylistics may or may not establish anything about its aesthetic value or literary merit, but there is no theoretical pre-requisite that it should. The possibility of giving such a lead is, however, not ruled out. Hitherto literary stylistics had been working within a kind of self-imposed limit: demonstrating parallelisms, correspondences, grammatical and phonological organization, reiterations and contrasts. Once we set up literary stylistics as a subdivision of general stylistics--specifically concerned with literary style and structure, there seems to be no valid reason for stopping at the frontiers of grammar or phonology. Rene Wellek, for example claims that

> We have to become literary critics to see the function style within a totality which inevitably will appeal to extra-linguistic and extra-stylistic values, to the harmony and coherence of a work of art, to its relation to reality, to its insight into the meaning of life, and hence to its social and generally human import.[1]

In Wellek's sense literary style is a critical concept, "a criterion of evaluation"—as he puts it. Where Wellek appears to have overstated his case for the literary critics is that in order to see the function of literary style within a totality the appeal to extra-linguistic or extra-stylistic values need not necessarily lead the analyst to probe into ontology. One could confine one's attention to the linguistic and stylistic values and yet produce a minute examination of the function of style in a literary text. The problem is that the linguists have scared the literary critics into thinking that stylistic analysis is necessarily phonological or grammatical analysis and that there is nothing in linguistics or stylistics outside of the phonological or grammatical analyses of the structuralist school, epitomized by the works of Roman Jakobson, for instance. Assuming that we take, with Sol Saporta, the task of general stylistics to be the study of "differences among the messages generated in accordance with the rules of (a) code" and that

> The analysis of style essentially involves the identification and calibration of the various dimensions along which messages may differ,[2]

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1 Rene Wellek, "Stylistics, Poetics, and Criticism," in Literary Style: A Symposium, ed. Chatman (London: OUP, 1971), pp. 73-74.

2 Sol Saporta, "The Application of Linguistics to the Study of Poetic Language," in Style in Language, ed. Sebeok (Cambridge, Mass.: MIT Press, 1960), pp. 87-88.

it is unlikely that literary stylistics can yield relevant data on the differential use of the code system without referring to the code at all. At the same time, the very fact that the notion of a literary language implies discontinuities in the code system and the use of the code, makes it equally clear that the differential use of the code system in generating literary messages cannot be exhaustively analyzed in terms of the rules of the code alone. If it is the message, not the code, that one takes up for stylistic analysis, the code is only one of "the various dimensions along which messages may differ." Apart from the code, or the context (which in a literary message is not always easy to calibrate), there are other elements in the communication situation which seem to deserve consideration as variables—such as the addresser in a literary message or the addresser-addressee relationship. It is here that the core of all problems in literary stylistics seems to lie: do we have to appeal to extra-linguistic or extra-stylistic <u>values</u> in order to see the <u>function</u> of literary style within the totality of a message? Literary critics such as Rene Wellek and linguists such as Sol Saporta assign essentially a classificatory and descriptive role to literary stylistics, and within this role the function of stylistic analysis would, perhaps, be merely to "identify and calibrate" the style features and differentiate these from the non-stylistic ones. As far as <u>assessing</u> their function in the message is concerned both linguists and literary critics appear to think that this lies outside the

scope of literary stylistics. This might be true if one considered literary stylistics mainly as a restricted descriptive and classificatory enquiry. However, if the description can cover not only the classification, identification and computation of the style features, but also a description of their function in the message, literary stylistics would be at the service of the linguist as well as the literary critic. Literary stylistic analysis can provide "linguistic evidence" for the intuitive perception of the literary critic. We need to make literary stylistics an exercise in exploration of relationship between linguistic features and their function in the message structure. However, if the literary stylistician assumes the pollution-conscious attitude of a descriptivist, who considers the functional value of stylistic features in a literary text as something quite outside his universe of discourse, literary stylistics is likely to remain suspect in the eyes of the literary scholars who have hitherto remained restive in appreciating it except as an arid exercise in "parsing and dissection."

Chapter V

Categories of the Theory of Grammar and Stylistic Analysis: Practice

5.0. Introduction

5.0.1 In "Generative Grammar and Stylistic Analysis" Thorne assumes that "any advance in grammatical studies is... ...likely to have some effect on stylistics."[1] Stylistics involves, in some form or other, an analysis of the linguistic structure of texts. It is, therefore, natural to hope that advances in grammatical studies are likely to have effect on stylistics. In post-Saussurean linguistics there has been a steady proliferation of the models of linguistic description so that linguistics is, in Chomsky's words, "at present in a state of ferment". The diversity of the available models of linguistic description leads one to wonder whether it is at all possible to talk in terms of 'advances' in grammatical studies without explicitly stating the criteria of judgement or selection. One such criterion suggested by Paul Postal is "to choose the best grammar out of all those compatible with the data".[2] On the other hand, Halliday proposes that out of all the available 'contending models' the best grammar is the one that is compatible with the consumer's needs. In Halliday's words

> Different coexisting models in linguistics may best be regarded as appropriate to different aims, rather than as competing contenders for the same goal.[3]

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1 J.P. Thorne, "Generative Grammar and Stylistic Analysis," in New Horizons in Linguistics, ed. John Lyons (Harmondsworth: Penguin, 1970), p. 185.

2 Paul Postal, Constituent Structure (The Hague: Mouton, 1964), p. 4.

3 Michael A.K. Halliday, "Syntax and the Consumer," in Monograph Series on Languages and Linguistics No.17 (Washington: Georgetown U. Press, 1964), p. 13.

In 'Syntax and the Consumer' Halliday raises the question: Is there one single 'best description' of a language, or are there various possible 'best descriptions' according to the purpose in view? Taking Halliday's consumer-oriented view of syntax for granted, if we are to define our needs, we can, temporarily, say that we need a model of linguistic description which will be empirically adequate to analyze and describe the linguistic structure of literary texts. Although, as Postal puts it, "there appear to have developed since the Second World War a wide variety of distinct models for the syntactic description of natural languages,"[1] only some of these models have been tried for analyzing the linguistic structure of literary texts while other models have not yet been applied for stylistic analysis.

5.0.2 In this respect one significant exception, among others, is Halliday's Scale-and-Category Grammar. The model is concerned with "that part of General Linguistic theory which accounts for how language works".[2] Since this model is explicitly committed to the view that "description consists in relating the text to the categories of the theory"[3] it is also the one which "is likely to have some effect on stylistics." Besides, as far as stylistics is concerned among contemporary grammarians Halliday's place is distinct in that he has not only elaborated a model of syntactic description: he

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1 Postal, Constituent Structure, p. 1.
2 Halliday, "Categories of the Theory of Grammar," Word, 17, No. 3 (Dec. 1961), p. 241.
3 Ibid., p. 243.

has also published a number of papers relating the model to the linguistic analysis of literary texts. Apart from the linguists of the Prague School, Halliday is one of the key-figures in modern linguistics who have shown a serious interest in the language of literature. It is, therefore, encouraging to see that as a starting-point Halliday chooses the following observation by Jakobson:

> Insistence on keeping poetics apart from linguistics is warranted only when the field of linguistics appears to be illicitly restricted.[1]

Compared with the views of other linguistic schools, this is already a favourable starting-point of some prospect for stylistics. Halliday's starting-point also sets him, in theoretical terms, apart from some widely-accepted views on the scope of linguistic description. For the post-Saussurean structuralists as well as the generative linguists the subject-matter of linguistic description is la langue, isolating it from la parole. A crucial point of difference, among many other important ones, between transformational-generative grammars and Halliday's Scale-and-Category model as well as systemic grammar is that Halliday rejects competence-performance dichotomy as 'either unnecessary or misleading.' In Halliday's view, since linguistics

> is concerned with the description of speech acts, or texts, since only through the study of language in use are all functions of language, and therefore all

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1 Roman Jakobson, "Linguistics and Poetics," in Style in Language, ed. Thomas A. Sebeok (New York: MIT Press, 1960), p. 352.

> components of meaning, brought into focus, ... we shall not need to draw a distinction between an idealized knowledge of a language and its actualized use: between 'the code' and 'the use of the code,' or between 'competence' and 'performance.' Such a dichotomy runs the risk of being either unnecessary or misleading: unnecessary if it is just another name for the distinction between what we have been able to describe in the grammar and what we have not, and misleading in any other interpretation.[1]

Halliday's own Scale-and-Category grammar

> consists of a scheme of interrelated categories which are set up to account for the data, and a set of scales of abstraction which relate the categories to the data and to each other. The data to be accounted for are observed language events, observed as spoken or codified in writing, any corpus of which, when used as material for linguistic description, is a 'text'.[2]

Halliday's refusal to draw any distinction between 'the code' and 'the use of the code' is related to Firth's preoccupation with 'the study of language in use.' In Halliday's descriptive model the idea of the continuity of the code with its use is what leads him to adopt an applicational approach to literary texts. This, as we shall see later, has some significant consequence for stylistic analysis.

5.1. Categories of the Theory and Description

5.1.1 A number of details of Halliday's "Categories of the Theory of Grammar" are of consequence to the problems of stylistic analysis. One of them is the status of description in relation to the theory. Halliday begins his paper by saying

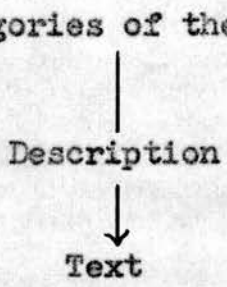
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1 Halliday, "Language Structure and Language Function," in New Horizons in Linguistics, ed. John Lyons, (Harmondsworth: Penguin, 1970), p. 145.
2 Halliday, "Categories," p. 243.

> Description is however not theory. All description, whether generative or not, is related to General Linguistic Theory; specifically, to that part of General Linguistic theory which accounts for how language works. The different types of description are bodies of method which derive from, and are answerable to, that theory.[1]

On this account description, like Hjelmslev's 'first degree metalanguage,' is 'derived from' the categories of the theory--the theory here being the highest degree of theoretical abstraction. Besides, description is a body of method derived from theory, 'and not a set of procedures.' The difference between the two is that in the former case the evaluation between different methods of description is based on the theory so that the best description is the one that "makes maximum use of the theory to account for a maximum amount of data."[2] In the latter case "external criteria have to be invoked."[3] Description itself "consists in relating the text to the categories of the theory."[4] The data to be accounted for are observed language events, observed as spoken or as codified in writing, any corpus of which, when used as material for linguistic description, is a 'text.'[5] A simple diagrammatic representation of the relationship between the categories of the theory, description and text will be something like the following:

1"Categories," p. 241.
2 Ibid., p. 249.
3 Ibid.
4 Ibid., p. 243.
5 Ibid.



Here the function of description is entirely one of application: it relates the theory to the texts or data. It is in this role of 'mediation' that description "accounts for how language works."[1] As we shall see later, this applicational view of description is of crucial significance to stylistic analysis as Halliday practises it. Thus, while the body of descriptive methods are derived from the theory the purpose of description is to account for how language works in texts by applying the categories of the theory to the texts. Halliday's model of description makes 'text' its focus of attention. He defines a 'text' as "the event under description, whether it appears as corpus (textual description), example (exemplificatory) or terminal string (transformative-generative)."[2] In the same footnote Halliday also refers us to Firth's paper "General Linguistics and Descriptive Grammar" where Firth says,

> (In accepting the whole man in his patterns of living) the linguist has to reject most of these patterns, confining himself to the processes and patterns of life in which language 'text' is the central feature and operative force.[3]

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1 "Categories," p. 241.
2 Ibid., p. 243.
3 J.R. Firth, Papers in Linguistics, 1934-1951 (London: Oxford, 1957), p. 225.

The notion of a text as the central feature and operative force in Descriptive Linguistics on the one hand, and the notion of Description as a body of methods derived from, answerable to, and ultimately evaluated by, the General Linguistic Theory and its highest categories of abstraction, on the other, naturally lead Halliday to take an applicational view of linguistic description. In Halliday's terms the linguistic description of texts is an exercise in the application of a pre-formulated theory of grammar and its explicit categories.

5.1.2 Although Halliday refers us to Firth's view of 'text' as the central feature and operative force in description, in the theory of language/grammar there is no explicit statement on what makes the language event under description a text as distinct from 'non-texts'. As we saw earlier (in 5.0.2) for Halliday "any corpus (of observed language events, observed as spoken or as codified in writing), when used as material for linguistic description, is a text". In this sense, text is the linguist's use of the code, i.e., a part of his metalanguage rather than a corpus of normal language event (i.e., object language). McIntosh uses the word 'text' "to refer to something either written or spoken; the length implied will depend on the amount of material which happens to be within the focus of our scrutiny on a given occasion."[1] Among the categories of the theory of grammar there is none

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1 Angus McIntosh, "Some Thoughts on Style," Patterns of Language (London: Longmans, 1966), p. 83.

which helps us to distinguish a text from a non-text. In the 'category' of 'unit' the highest in rank scale is 'sentence', and this does not help us to decide whether a collection of assorted sentences does make a text. If one were to consider description merely as an application of the categories of the theory to texts, hypothetically it is quite possible to describe 'non-texts' (i.e., a set of sentences unrelated to one another) intra-sententially as a network of formal relations--displaying the constituent elements as an inventory of the nominal, the verbal and the adverbal groups, for instance. Halliday is not unaware of the problems here, because in his paper "Descriptive Linguistics in Literary Studies" (August, 1962) he writes:

> Language does not operate except in the context of other events; even where these are, as with written texts, other language events, any one point made about a piece of text which is under focus raises many further points extending way beyond it into the context. This does not mean that no linguistic statements can be self-sufficient, but that the only ultimately valid unit for textual analysis is the whole text.[1] (my emphasis)

The categories of the theory of grammar in themselves have no means to establish that the ultimately valid unit for textual analysis is the whole text, because the categories of unit, structure, class and system on the one hand and the scales of rank, exponence and delicacy, on the other, do not tell us anything about the text except as a sum of tokens of type, and the types do not go beyond the rank of

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1 Halliday, "Descriptive Linguistics in Literary Studies," Patterns of Language, (London: Longmans, 1966), p. 56.

sentence. Therefore, the highest categories of abstraction in the theory have no means to analyse the special formal properties of a text except by considering it sentence by sentence, clause by clause, and group by group.

5.1.3 If, as Halliday acknowledges, "the only ultimately valid unit for textual analysis is the whole text," the categories of the theory of grammar (i.e., unit, structure, class, and system) and their scales (i.e., rank, exponence, and delicacy) have no means to analyze the formal properties of the whole text as a text. Within the limit of each individual sentence one can segment and classify the elements in terms of the categories and scales, but this will reveal the text merely as an inventory or collection of sentences, clauses, groups and words, but not as an indivisible textual whole. To get round this problem Halliday proposes to

> make the proviso that such studies may require new alignments or grouping of descriptive categories, through which the special properties of a text may be recognized. ... ... An example of such a grouping, in which various grammatical and lexical features are brought together, is provided by the concept of "cohesion".[1]

Cohesion, which has been studied in great detail by Hasan,[2] is an important concept for textual analysis of any sort--literary as well as non-literary. The concept of cohesion involves two types of syntagmatic relations: 1. Grammatical, and 2. Lexical. The grammatical cohesion is sub-divided

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1 Halliday, "The Linguistic Study of Literary Texts," p.218.
2 Ruqaiya Hasan, Grammatical Cohesion in Spoken and Written English Part I and II (London: 1968).

into two heads a) structural, and b) non-structural. The grammatical cohesion of the structural type is either one of dependence or of co-ordination of two or more clauses within a sentence. They may be exemplified by the following sentences:

Dependence:

1. The library building, which was designed by Sir Basil Spence, needs some more reading space.

Co-ordination:

1. The library building was designed by Sir Basil Spence and it needs some more reading space.

The grammatical cohesion of the non-structural type is not necessarily confined to the intra-sentential relations. It operates through exponents which do not stand in any fixed structural relation or indeed necessarily in any structural relation with other items in the text at all. They include a) the anaphora: i) deictics, such as the, this, that; personal possessives; submodifiers, such as such and so; adverbs such as, there and then; ii) Personal Pronouns. But when they are used cataphorically deictics and sub-modifiers (pointing forward to a modifier or qualifier as in the tallest man, the man who came to dinner) are not textually cohesive. Another type of non-structural grammatical cohesion is verbal or nominal substitution (e.g., the use of do as substitute lexical item in the verbal group, and of one as head in the nominal group). As distinct from grammatical cohesion, lexical cohesion occurs when there is the repetition of the same lexical item or items from the same lexical set. Items of a lexical set are defined in terms of their privilege of

occurrence in the same collocation (e.g., climb, mountain, peak, ascent, steep, etc.). The grammatical and lexical cohesions are the main features contributing to the internal formal cohesion of texts in written English. As such, a discussion of cohesion as a factor is relevant to the linguistic analysis of texts as distinct from the linguistic analysis of utterances or sentences in isolation.

5.1.4 Drawing upon the model of syntactic description proposed in "Categories of the Theory of Grammar," Halliday has published two papers on the linguistic study of literary texts. The first one is called "Descriptive Linguistics in Literary Studies" (August, 1962) and the second called "The Linguistic Study of Literary Texts" (August 27-31, 1962). In the first paper Halliday is more concerned with general problems of 'application' of the theories and methods of linguistics to the study of literary texts than with any specific text or any particular linguistic feature of the text. Where he considers these it is by way of illustrating the validity of the model of description. The first paper does not even mention the word "stylistics" while the second is essentially an attempt to define the nature and status of linguistic stylistics in relation to both the theory and the description. The first is a strong plea for application of Descriptive Linguistics in literary studies. There is no suggestion anywhere in the essay that the language of literature is any way different from other instances of observed language events. While conceding to the possible need of new alignments of established categories to handle literary

texts, Halliday sternly warns against "inventing new categories" in analyzing the literary texts. In the essay Halliday writes,

> The concept of cohesion has been developed especially for literary textual analysis; but every category brought together under this heading is drawn from the total description of English and has exactly the same range of application whatever the text to which it is applied.[1]

Although it is a concept developed 'especially' for literary textual analysis, 'cohesion' is not a special formal property confined to literary texts. As we have seen earlier, it is common to all texts--cohesion being the very property of 'textuality' of texts, literary or otherwise. In "Descriptive Linguistics in Literary Studies" Halliday continuously emphasizes the accessibility of literary texts to analysis based on methods of descriptive linguistics and the continuity of all texts. What linguistic or stylistic analysis Halliday has done in the paper is merely for illustrating the above thesis. Before examining the actual pieces of textual analyses Halliday has done in the paper, it may be worthwhile to look into Halliday's position, because the points emphasized in the paper are of theoretical relevance as well as of practical consequence to stylistic analysis. In the paper Halliday writes

> 1. The linguistic study of literature is textual description, and it is in no way different from any other textual description; it is not a new branch or a new level or a new kind of linguistics but the application of existing theories and methods. What the linguist does when faced with a literary text is the same as what he does when faced with any text that he is going to describe.[2]

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1 Halliday, p.66.
2 Ibid., p. 64.

> 2. A work of literature, like any other piece of language activity, is meaningful only in the perspective of the whole range of uses of the language.[1]

In Quotation 1 what Halliday is saying is that textual descriptions are all alike whether the text described is literary or otherwise, because a literary text is as much a language event as any other. As a 'text' it is accessible to description by the same theories and methods of Descriptive Linguistics as any other texts. In Quotation 2 Halliday's justification for treating a literary text as just another text is that a literary text has meaning only against the background of the language as a whole, and that if the linguistic analysis of literature is to be of any value or significance it must surely operate against the background of a general description of the language, using the same methods, theories and categories. This is why Halliday says that all literary analysis is essentially comparative, which makes it "all the more necessary to be consistent, accurate and explicit: to base the analysis firmly on a sound, existing description of language."[2] To sum up Halliday's points in the paper, 1. All texts are alike. 2. The existing methods of Descriptive Linguistics should be applied in analyzing literary as well as non-literary texts to ensure the consistency, accuracy, explicitness and the theoretical validity of the statements made, and 3. All textual analysis is essentially comparative. The

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1 Halliday, p. 67.
2 Ibid., p. 66.

general points raised in the essay, when summed up thus, are a composite plea for the application of the existing methods of description which in Halliday's case means his own Categories of the Theory of Grammar. In the essay Halliday does not use terms like 'stylistics,' 'stylistic analysis,' or 'linguistic stylistics,' but he uses terms like 'textual analysis,' 'linguistic statement,' 'textual description,' or 'statement of formal properties,' as loosely interchangeable terms. Obviously, here 'style' has no discrete status as a level of linguistic analysis. This is clear when Halliday says, "The linguistic study of literature is textual description, and it is not different from any other textual description."[1] In fact, it is not so much the accessibility of literary texts to analysis by the existing methods of linguistics that is emphasized here as the adequacy of these methods in the analysis of every species of text. In this sense, Halliday's paper is about the global applicability of his descriptive model, and the literary texts are used only as demonstration pieces. What Halliday is interested in is the demonstration of how this descriptive model fits the literary extracts rather than in the demonstration of how language works in these extracts. The literary extracts are used merely as illustrative material for demonstrating the global validity of the pre-formulated categories of the theory. Through his textual analyses what Halliday clearly brings home to us is that the texts under description are a set of tokens

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1 Halliday, p. 64.

of formal (i.e., grammatical and lexical) types set up by his Category-and-Scale model of description.

5.1.5 There are, in all, three brief examples of textual analysis which Halliday uses as illustration in support of the theoretical points he has made in the paper. They are

1. The use of 'the' in Yeats's poem Leda and the Swan
2. The distribution of verbal items in the poem
3. A comparison of some linguistic features (e.g., nominal groups, lexical sets and cohesion) in three prose extracts from three contemporary English writers--each extract being the description of a room.

Halliday discusses these examples with a certain degree of rigour and numerical exactitude which is also visible in the tabular representation of the findings in the three Tables at the end of the essay. Enumerating the use of deixis in the nominal groups in Leda and the Swan Halliday writes,

> Out of a total of 25 (nominal groups), no less than 15 have both a specific deictic (10 'the', 5 others) and a modifier (other than the deictic) or both. ... ... (As against the most frequent cataphoric use of 'the' in samples of modern English prose writing,), In Leda, however, out of ten nominal groups having 'the' and a modifier or qualifier, only one, 'the brute blood of the air,' 'the' is in cataphoric use... (the rest) are to be identified anaphorically, in fact by anaphoric reference to the title of the poem.[1]

So much for the textual analysis of this feature of the poem. As for comment on the findings of analysis Halliday remarks

> The only other type of writing I can call to mind in which this feature is found at such a high density is in tourist guides and, sometimes, exhibition catalogues. (I hope I need not add that this is in no sense intended as an adverse criticism of the poem).[2]

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1 Halliday, p. 59.
2 Ibid.

In the second example Halliday analyzes the verbal items in the same poem. As the poem is organized mainly in nominal groups there are only 15 verbal groups as against 25 nominal ones. Halliday finds that "with its predominance of nominal groups, the verbal items are considerably deverbalized" so that "in Leda the more powerful of the verbal lexical items are items of violence; and it is precisely these that perform nominal rather than verbal roles."[1] By way of comparison Halliday says

> Of various short passages examined for comparative purposes, the only one showing a distribution at all comparable to that of Leda was a passage from the New Scientist concerning the peaceful uses of plutonium. ... ... I am not of course saying that the language of Leda is like that of the New Scientist. The two passages are alike in this respect: that is all. Again no evaluation is implied; even if one criticized the highly nominal style of much scientific writing this is quite irrelevant to Leda, since (1) the two are quite different registers, and what is effective in one register may not be effective in another, and (2) this feature cannot be isolated from other features in which the two are quite different--for example the lexical items concerned.[2]

In the third example Halliday is concerned with nominal groups--their patterns, lexical sets and lexico-grammatical cohesion in the three prose extracts. He counts the groups and their patterns in terms of grammar and lexis. In terms of these counting he compares the three passages and displays the results in the form of a table. Halliday acknowledges

> All this is 'obvious,' but the fact that it is obvious does not mean it should not be made explicit. Nor is it useful to count items or patterns without a linguistic analysis to identify what is to be counted.[3]

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1 Halliday, p. 61.
2 Ibid., p. 60.
3 Ibid., p. 63.

5.1.6 Thus Halliday's textual analyses have a number of methodological virtues to claim. For one thing, the categories of the theory give the analyst the framework, technique, method of describing texts by defining explicitly the items and patterns to look for in texts. Halliday seems to suggest that the way to make linguistic statements on texts quite explicit is to count these formally identifiable items and patterns, and then, possibly display them in statistically tabulated form. In his textual analyses the kind of statements that Halliday makes is mainly formal--i.e., about the formal meaning of an item or "its operations in the network of formal relations." (In the grammar "the statement of formal meaning logically precedes the statement of contextual meaning"--i.e., its relation to extratextual features). Halliday's analyses in the paper are either of formal relations at the level of grammar or of formal relations at the level of lexis (with the exception of remarks on 'cohesion' which are lexicogrammatical as well). As soon as Halliday steps out of formal statements to make comments on the texts the comments seem to embarrass everyone, including the linguist: his findings are of somewhat uncertain relevance to the literary analyst. But at the same time, it is interesting to note that Halliday's plea is all for the linguistic description of literary texts. He is indifferent as to the value of such analyses to the literary critic. As he puts it,

> Linguistics is not and will never be the whole of literary analysis, and only the literary analyst--not

> the linguist--can determine the place of linguistics in literary studies.[1]

For Halliday the debate is over <u>how</u> a literary text should be described, not over <u>what</u> value such a description has for the literary critic.

> If a text is to be described at all, then it should be described <u>properly</u>; and this means by the theories and methods developed in linguistics, the subject whose task is precisely to show how language works.[2]

There is a great deal that can be said about the theoretical validity, methodological precision and the explicitness of the descriptive and analytical statements that Halliday makes about the language of Yeats's poem. They do precisely show how, in terms of the Halliday model, language works as the code in the poem. More important than anything else they help to remind us that <u>Leda and the Swan</u> is a 'language event' just as much as the <u>New Scientist</u> essay on the peaceful uses of plutonium; that poetry is language as much as any other use or instance--a 'text' in Firthian sense. This has, thus, the benefit of setting the poem 'against the background of a general description of the language, using the same theories, methods and categories.' While it helps to relate the literary texts to the non-literary ones, on the one hand, and to the theory, on the other, it does not seem to reveal any special property either of the individual text or of the language of literary texts. At one point in the paper Halliday says,

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1 Halliday, p. 67.
2 <u>Ibid</u>., pp. 67-68.

> Even if one criticized the highly nominal style of much scientific writing this is quite irrelevant to Leda, since the two are quite different registers, and what is effective in one register may not be effective in another.[1]

Halliday does not clarify whether this means that the language of poetry is a register ('the variety according to use') quite different from, say, scientific writing. But Halliday's paper does not seem to bring out any formal properties, if any such properties are present, in the texts which distinguish them from the non-literary texts. On the contrary, Halliday's continuous emphasis in the paper is on the accessibility of all texts to analysis by methods and categories of descriptive linguistics. The emphasis on the continuity of literary texts with non-literary ones tends to leave the impression that the literary texts are just another instance of 'observed language event'--nothing more and nothing less and that all that the linguist can do with these texts is to treat them simply as texts. For the purposes of description or textual analysis a text is merely a text: there is no distinction between literary texts and non-literary ones. As a 'patterned activity' all language texts are alike in that they are equally accessible to analysis by the existing methods of descriptive linguistics.

5.2. Linguistic Stylistics as Application of Descriptive Linguistics

5.2.1 "The Linguistic Study of Literary Texts" is a short paper which Halliday read at the IX International

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1 Halliday, p. 60.

Congress of Linguists, Cambridge, Mass., August 27-31, 1962. As the title suggests the paper is as much concerned with 'the linguistic study' of literary texts as the paper on "Descriptive Linguistics in Literary Studies." By and large, the preoccupation in both the papers is the same: the accessibility of all texts, "including those, prose and verse, which fall within any definition of 'literature,' to analysis by the existing methods of linguistics," and the prerequisite that in such textual analyses "both the theory and the description must be those used in the analysis of the language as a whole."[1] The earlier paper seems to loosely equate 'description' with 'textual analysis' or with 'linguistic analysis of texts.' There is some lurking ambiguity here—perhaps unintentional, but an ambiguity all the same, because 'description' by definition is 'textual' or 'linguistic' analysis of a text—a 'text' being any observed language event—written or spoken. As we have discussed earlier, Halliday does not use any terms like 'Stylistics' in the earlier paper so that we get the impression that linguistic stylistics has no separate status: it is just another name for the application of the Categories of the Theory for analysis and description of texts. In the second paper not only does Halliday mention the term 'linguistic stylistics': he defines its status explicitly and, at the same time, places it in relation to both the theory and the description. Halliday defines 'linguistics'

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1 Halliday, "The Linguistic Study of Literary Texts," in Preprints of Papers for the IX International Congress of Linguists, August 27-31, 1962 (Cambridge, Mass., 1962), p. 197.

stylistics' in the following terms:

> We can therefore define linguistic stylistics as the description of literary texts, by methods derived from general linguistic theory, using the categories of the description of the language as a whole; and the comparison of each text with others, by the same and by different authors, in the same and in different genres.[1]

This is at once a very explicit and unhelpful definition of linguistic stylistics in that it does not tell us why the linguistic description of literary texts is linguistic stylistics while that of non-literary texts, apparently, is not. Secondly, it does not tell us what is 'stylistic' about linguistic stylistics which, by Halliday's definition, is not shared by an ordinary, straightforward analytical, descriptive-linguistic statement on any text--say, for instance, on a New Scientist essay on the peaceful uses of plutonium. One suspects that Halliday is using the term 'linguistic stylistics' in a narrow sense confining it to the linguistic study of literature alone. When he talks about 'different authors' and 'different genres' he means the literary ones. This is interesting in view of the initial assertion of Halliday's own in the paper where he says

> Linguistic stylistics must be an application, not an extention, of linguistics; this is the only way to ensure the theoretical validity of the statements made.[2]

If "all texts, including those, prose and verse, which fall within any definition of 'literature,' are accessible to

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1 Halliday, "The Linguistic Study of Literary Texts," p. 197.
2 Ibid., p. 198.

analysis by the existing methods of linguistics," there must be some theoretical or methodological justification for treating literary texts as a separate field of linguistic study. That is to say, if 'linguistic stylistics' is not merely a convenient label for the linguistic analysis of literary texts, some special properties of the literary texts or of the language of literary texts will have to be isolated to merit a separate linguistic investigation. We have already seen that Halliday's Categories of the Theory of Grammar has no place for 'style' as a formal category either in the Theory of Grammar or in the theory of Lexis. When Halliday writes in his definition of literary stylistics that it is "the description of literary texts, by methods derived from general linguistic theory, using the categories of the description of the language as a whole" he does not solve the problem of placing 'style' as a feature of texts, particularly the literary texts, in the general framework of analytical-descriptive linguistic statements.

5.2.2 In "The Linguistic Study of Literary Texts," as in the earlier paper, Halliday insists that "stylistic studies use the same methods and categories as non-literary descriptions." But here he concedes in much more elaborate terms to the fact that

> We must make the proviso that such studies may require new alignments or groupings of descriptive categories, through which the special properties of a text may be recognized.[1]

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1 Halliday, "The Linguistic Study of Literary Texts," p. 198.

All this, sooner or later, leads us to one focal problem of literary stylistics: Do literary texts, as against the non-literary ones, have a special formal property or properties? Without abandoning his earlier position, by the time Halliday has written this paper, he appears to acknowledge that even in formal terms literary texts have recognizably special properties. What distinguishes his later paper from the earlier one is the acknowledgement of the special property of literary texts. It is not for nothing that here Halliday appeals to the famous formulation of Jakobson, according to whom

> The set (Einstellung) toward the Message as such, focus on the message for its own sake, is the poetic function of language.[1]

To this Halliday adds

> It is this 'set toward the message' that determines the particular type of linguistic patterning that is characteristic of literature... ... If we keep the word 'pattern'... ... as a crucial property of language as such, then the special property of literary language is the patterning of the variability of these patterns. In other words, the creative writer finds and exploits the irregularity that the patterns allow, and in doing so superimposes a further regularity.[2]

As far as the problems of stylistic analysis are concerned this is by far the most important single statement that Halliday makes in the two papers. In terms of theoretical implications, by the time Halliday arrives at this conclusion he sees in a literary text, not just patterns imposed by the code, but also patterns imposed by the organization of the message <u>over and above</u> those imposed by

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1 Jakobson, "Linguistics and Poetics," in <u>Style in Language</u>, ed. Thomas A. Sebeok (New York: MIT Press, 1960), p. 356.
2 Halliday, <u>op.cit.</u>, pp. 199-200.

the code. Thus, for linguistic analysis a literary text is at once the code (tokens of types) and more than the code. In this sense, stylistic analysis is an operation which has to take into consideration, not only the patterns allowed in grammar or lexis, but also the patterns which are specific to each text under description.

5.3. Halliday as a Model of Stylistic Analysis

5.3.1 Although "description is... ... a body of method derived from theory, and," as Halliday puts it, "not a set of procedures," the theory in itself does not take stylistic analysis very far. For one thing, stylistic analysis, unlike other spheres of linguistic enquiry, is not entirely a theoretical enterprise. It is ultimately an applicational confrontation of the theoretical formulations with one or the other set of textual data. As a species of descriptive-analytical operation we cannot evaluate different approaches to, and models of, stylistic analysis except on the basis of some criteria we agree to set up. In "The Logical Basis of Linguistic Theory" Chomsky, for instance, discusses 'the levels of success for grammatical description,' and as a working framework he sets up three 'roughly delimited levels of success.' These are the levels of observational adequacy, descriptive adequacy, and explanatory adequacy. Explaining the criteria he has thus set up, Chomsky writes

> The lowest level of success is achieved if the grammar presents the observed, primary data correctly. A second and higher level of success is achieved when the grammar gives a correct account of the linguistic

> intuition of the native speaker, and specifies the observed data (in particular) in terms of significant generalizations that express underlying regularities in the language. A third and still higher level of success is achieved when the associated linguistic theory provides a general basis for selecting a grammar that achieves the second level of success over other grammars consistent with the relevant observed data that do not achieve this level of success.[1]

Chomsky was, of course, speaking of the levels of success for grammatical description, not for stylistic analysis. Since nobody takes up stylistic analysis for sport (we hope, not even the linguists who do take up stylistic analysis to demonstrate how their models work) we can adapt Chomsky's 'levels of success' as a set of criteria and set up some tentative goals of stylistic analysis, to which we shall come back later. We analyze the literary texts

Purpose	Approach	Goal
1. to describe how language works in the text under focus	text as data	precision of description
2. to demonstrate how the theory or description fits the text	text as example of the code	explicitness/ applicability of the model of analysis
3. to discover what the text means as a message-type	text as message	interpretation of the text as a communicative act.

The fundamental difference between the goals to be set up for 1) and the goals to be set up for 2) is one of focus. In 1) the focus is the text while in 2) the focus is the theory or the model. In 1) the text is not an illustration

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1 Chomsky, "The Logical Basis of Linguistic Theory," in Preprints of Papers for the IX Congress of Linguists, August 27-31, 1962 (Cambridge, Mass: 1962), p. 514.

of how the theory works, but an illustration of how language works; in 2) the text is an illustration of how the theory works. Accordingly, in 1) the criterion of evaluation between models has to be precision of description: the power of a model to describe the data as precisely as possible. In 2) the criterion is the workability of the model in terms of its explicitness, applicability and compatibility with the text under focus. It is the theory that matters here, not the text. Finally, in 3) the criterion which can be set up is the power of a model to decode the text as a message-type, as an act of communication--not just a string of verbal sequence.

5.3.2 Bearing the above set of criteria in mind we come to Halliday's work on stylistic analysis. There are three pieces of analysis in "Descriptive Linguistics in Literary Studies" and two in "The Linguistic Study of Literary Texts." The analyses briefly taken up in the latter are the same ones as in the first paper except that in the earlier paper the analysis is much more detailed than in the latter one. The first of these pieces of analysis, common to both the papers, is of the use of 'the' in Yeats's poem Leda and the Swan. There are two kinds of statements that Halliday makes on this feature of the poem: 1. Statistical Statements, and 2. Descriptive statements, with a comment or two--immediately qualified as non-evaluative. To these one may also wish to add that Halliday makes some comparative/contrastive statements on the poem by comparing the linguistic feature under observation with similar feature in other poems either by Yeats or by Tennyson.

Given below are the samples of the three types of statements that Halliday makes:

1. Statistical Statement:

> Out of a total of 25 (nominal groups), no less than 15 have both a specific deictic (10 'the', 5 others) and a modifier (other than the deictic) or qualifier or both... ... In Leda out of ten nominal groups having 'the' and a modifier or qualifier, only one, 'the brute blood of the air,' had 'the' in cataphoric use.[1]

2. Descriptive Statement:

> In spite of 'the', 'the dark webs' are not identified by their being dark--like 'the loins,' they are to be identified anaphorically, in fact by anaphoric reference to the title of the poem.[2]

3. Comparative Statement:

> Moreover, samples of modern English prose writing show that the most frequent use of 'the' is in fact cataphoric reference to modifier or qualifier, not anaphoric reference... as often supposed.[3]

Given the model of description all these types of statement in Halliday's analysis of the Yeats poem are unassailable: they are mathematically exact, terminologically precise and theoretically valid. The description is derived from the theory. When the poem is compared with another Yeats poem the findings of the comparison are theoretically valid; when the high density of anaphoric use of 'the' in Leda is contrasted with the most frequent use of 'the' in modern English prose one of Halliday's conclusions is

> The only other type of writing I can call to mind in which this feature is found at such a high density is in tourist guides and, sometimes exhibition catalogues.[4]

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1 Halliday, "Descriptive Linguistics in Literary Studies," p.59.
2 Ibid., p. 59.
3 Ibid.
4 Ibid.

This is about all that Halliday has to offer in terms of the linguistic study of the feature in Yeats's poem. There is no need to go over the details of other analyses by Halliday just to discover that they are from the linguist's point of view; and, as a linguist, Halliday is concerned with the literary text as an instance of the code. For Halliday stylistic analysis is an inventory of formal elements of grammar and lexis--an inventory of tokens of types. As a linguist he is concerned with the precision and exactitude of the descriptive statements he makes. He is concerned with the validity of the model he has brought to apply to the data. In terms of the goals of stylistic analysis we set up earlier in this section, precision of the statement and explicitness and validity of the model are all that Halliday is interested in as a linguist. Hypothetically, if one could paraphrase Leda and the Swan into prose retaining the formal features of the nominal groups, Halliday's findings would have been the same. The impression one gets from Halliday's analysis here is that one analyzes a poem as an aggregate of nominal groups, verbal groups, and adverbial groups--focussing one's attention on the structure of the group, class by class, and displaying the findings in statistical charts or tabular form. Obviously, for this operation the text does not have to be a poem; but the fact that it is a poem seems to make no difference. A text, particularly a poetic text, is not the sum of its parts. This brings us to the main point. Halliday's model of stylistic analysis is motivated by two

concerns 1. explicitness of the methods and categories of description which ensures that the statements are exact, precise and explicit, and 2. validity of the descriptive, analytical and comparative statements made in terms of the theory. This is the strength of the model: it tells us that an Yeats poem is just as much a language event as a tourist guide or an exhibition catalogue. Precise, exact and theoretically valid formal statements can be made of one just as well as of the other. Some of the points that Halliday makes about Leda and the Swan have, possibly, never been made before in the traditional literary critical accounts of the poem. This, in a sense, is also the weakness of the approach. Although in "The Linguistic Study of Literary Texts" Halliday talks of 'the special property of literary language,' the special property is to be defined still in terms of formal features of grammar or lexis--in terms of the "patterning of the variability of these patterns." In both the papers Halliday equates stylistic analysis with a taxonomic statement of such features of grammar or lexis which are formally marked, e.g., high density of anaphoric use of 'the', the preponderance of nominal groups, the deverbalized nature of verbal groups in Leda and the Swan. If we take these analyses qua analyses they are both valid and precise linguistic analyses. But the point to which Halliday is indifferent is the relevance of these "marked" features of the text to the semantic interpretation of the poem as a poem. If a poem is not a message-type, an act of communication, it is nothing,

and if it is a message-type what is, then, the relevance of Halliday's findings to the interpretation of the text of Leda as a message-type? Halliday's tables, charts and statistics on the nominal and verbal groups in the poem tell us a great deal about the nominal groups and verbal groups in the poem, but whether they tell us anything else is debatable. Ingenious explicators of Yeats's poem could certainly seize upon McIntosh's hint that the linguist

> can provide a framework of reference within which it becomes possible to pinpoint certain stylistic characteristics as a prelude to the assessment of their significance and effect, whether this assessment is made by himself or by someone else[1]

and read wildly divergent meanings into these observed features of the text. Halliday's own complaint against these literary explicators is not that they are liable to wildly speculative readings of a poem, but that they do not describe the text "properly" (i.e., by the theories and methods developed in linguistics). Halliday's complaint is against 'armchair linguistics', not against equally 'armchair explication'. After giving a demonstration on how to describe a text it is not clear whether the linguist is expected to abdicate and retire, and possibly let the literary analyst take over from him. For Halliday says

> Linguistics is not and will never be the whole of literary analysis, and only the literary analyst--not the linguist--can determine the place of linguistics in literary studies.[2]

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1 McIntosh, "Linguistic and English Studies," in Patterns of Language, p. 48.

2 Halliday, "Descriptive Linguistics in Literary Studies," in Patterns of Language, p. 67.

This means, Halliday is proposing that literary texts be analyzed by the theories and methods developed in linguistics because these are developed, and already valid for the rest of the language and as descriptive methods, explicit, precise and exact. Whether the resulting description or analysis has any bearing on the interpretation, appreciation and understanding of the poem is a matter of indifference to Halliday.

5.3.5 Halliday may be said to represent a model of stylistic analysis which is right at the extreme end of the formalist spectrum. Although he takes grammar as the main basis of his analyses, with lexis as a supporting level of analysis, he takes formalism in stylistic analysis far afield. A comparison with Thorne or Jakobson will bring out this clearly because, like Halliday, they regard grammar as the basis of stylistic analysis. Grammatical analysis is the basis of Thorne's stylistic analysis too. Thorne says

> Presumably a difference in the analysis of one sentence and another, or of the same sentence by different people, reflects a difference in meaning.[1]

In Thorne's sense, the grammatical analysis of a poem implies choice of its meaning. In writing the grammar of a poem one is also making choices with regard to its semantic interpretation. Jakobson's position is somewhere in between these two points of view. Jakobson, as Hendricks says, is

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1 J.P. Thorne, "Stylistics and Generative Grammars," in Linguistics and Literary Style, ed. Donald C. Freeman (New York: Holt, 1970), p. 192.

"perhaps the best-known person who assumes that a grammatical analysis of a poem provides the basis for its semantic interpretation."[1] To Jakobson "any reiteration and contrast of a grammatical concept makes it a poetic device."[2] Compared with Jakobson, Halliday is quite indifferent to the question of grammar and its relation to poetic devices; to him a grammatical, lexical or lexico-grammatical analysis is its own justification, as it were, without a vested interest in its implications for semantic interpretation. That a poem is a poem is important for him, not because it means more than an ordinary text, but because it shows more grammatical and lexical patterns or regularities superimposed by the creative writer. He examines it as a set of highly cohesive and integrated network of formal relations and patterns. It is the power and precision of the descriptive model on the one hand and the validity of the resulting statements on the other which interest Halliday, not their potentiality for semantic interpretation. If a literary critic, making use of Halliday's descriptive statements, interprets Leda and the Swan in a highly personal way we cannot ask Halliday to take the blame: there simply is no place for semantic component in Halliday's early model of stylistic analysis.

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1 William O. Hendricks, "Three Models for the Description of Poetry," Journal of Linguistics, 5, No. 1 (April, 1969), p. 6.

2 M. Riffaterre, "Describing Poetic Structures: Two Approaches to Baudelaire's Les Chats," Yale French Studies, 36/37, pp. 200-242. Quoted by Hendricks.

5.3.4 As a 'taxonomic' model of stylistic analysis Halliday takes a literary text and considers it as a closely patterned verbal network. But a serious inadequacy of this model of analysis comes to the surface as soon as we realize that it is not sufficiently 'powerful' to handle all kinds of literary texts descriptively. The applicational view of Halliday makes stylistic analysis an activity which is not only theoretically derivative but also the same species as any other descriptive work. Such a position runs into a serious difficulty as soon as the type of literary-textual data chosen for analysis proves to be unconventional. For example, it is not clear how Halliday's model of stylistic analysis can cope with an e.e. cummings poem like 'anyone lived in the pretty how town.' An 'irregular' prose extract, say, from Joyce's Ulysses is surely as much an 'observed language event,' but how does one account for the grammatically deviant features of it in Halliday's model of textual analysis is not clear. When Halliday writes,

> It is part of the task of linguistics to describe texts; and all texts, including those, prose and verse, which fall within any definition of 'literature,' are accessible to analysis by the existing methods of linguistics.[1]

perhaps he means only those texts which are regular, i.e., which do not contain features which are grammatically deviant. In such texts it is not just the categories of the Theory of Grammar, but also those of the Theory of Lexis, which

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1 Halliday, "The Linguistic Study of Literary Texts," p.

are 'violated.' For as Jakobson says in a famous statement

> The poetic function projects the principle of equivalence from the axis of selection into the axis of combination.[1]

That is to say, it is in the very nature of poetic function to dislocate the syntagmatic relation by bringing in the paradigmatic exponents into new combinations. The categories of lexical set (paradigmatic) and of lexical collocation (syntagmatic) which, apparently, play an important theoretical role in the neo-Firthian account of formal meaning are regularly disturbed by the very nature of poetic function of language. One has only to think of poetic metaphor or imagery. One of the avowed aims of post-Symbolist poetry has been "to dislocate language into (private/personal) meaning." Not all literary texts are, therefore, normal--not even as normal as the extracts from John Braine, Dylan Thomas and Angus Wilson which Halliday discusses briefly.

5.3.5 If we refer back to the set of criteria we set up tentatively at the beginning, i.e., the three main goals of stylistic analysis, immediately we realize that Halliday's model rules out the third goal, i.e., to discover what is unique about the text as a message-type or an act of communication. Of the two other goals Halliday's interest as a linguist is more in the second, i.e., in the text as an illustration of how the theory works, not in how language works. If we establish a priority of goals, then between the two, the criterion of the workability of

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1 Jakobson, op.cit., p. 358.

the model seems to depend not just upon the power or explicitness of the model as such, but also upon the nature of the textual data chosen or selected for analysis. In view of Halliday's repeated emphasis on 1. the continuity of all texts 2. the applicability of the categories of the theory to the description of literary texts, and 3. the essentially comparative nature of stylistic analysis, he seems to be only marginally interested in the uniqueness of each text as a single and whole unit. While Halliday's approach helps to place the text against the background of a general description of the language as a whole (and thus bring out its distinctive features), it does not help to consider it as an integrated meaningful piece of message. For the analysis of a literary text is not merely an analysis of its form or formal patterns of grammar and lexis ('formal meaning' in Halliday's sense). A literary text is nothing if not a deliberate, intentional and meaningful act of communication. An analysis of the organization of the code is not an analysis of the message, and it is the message that is completely left out in Halliday's model of stylistic analysis. Given the theory and its categories Halliday's tables of the deixis, the nominal and verbal groups in Leda and the Swan have the virtue of computerised output: the precision is unmatched. But, then, what does one do with these tables, once they have been thus drawn and displayed? It is not easy to see what use one can make of these tables in the interpretation of a poem which portrays a moment of intersection between myth and history--a moment when the whole Homeric Greece is arrested in the

brief mating of God, who foresees everything, and a mortal queen who is bewildered by everything but comprehends nothing.

5.4. Sinclair's Notions of 'Arrest' and 'Release'

5.4.1 Since the publication of Halliday's textual analyses in the early 1960s, the Scale-and-Category model of grammar has been used programmatically for stylistic analysis by other linguists and scholars as well. Among them Sinclair's two papers "Taking a Poem to Pieces,"[1] (1966) and "A Technique of Stylistic Description," (1968)[2] and Alex Rodger and Jean Ure's "Cargoes: A linguistic Analysis" (1968-69)[3] and Alex Rodger's "Linguistic Form and Literary Meaning: A Stylistic Analysis of an Early English Lyric" (1969)[4] could be mentioned as representative analyses. Although in their thoroughness as well as in their programmatic quality there is not much to choose between them, Sinclair's "Taking a Poem to Pieces," stands out among others for its merit of introducing certain potentially valuable notions in stylistic analysis. As such, we shall, in this section, briefly discuss Sinclair's paper as an application as well as extension of the early Hallidayan model of stylistic analysis.

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1 John McH. Sinclair, "Taking a Poem to Pieces," in Essays on Style and Language, ed., Roger Fowler (London: 1966), pp. 68-81.

2 John McH. Sinclair, "A Technique of Stylistic Description," Language and Style 1, No. 4 (Fall 1968), 215-242.

3 Alex Rodger and Jean Ure, "Cargoes: A Linguistic Analysis," Journal of English as a Second Language III, No.2 (Fall 1968), 1-21; IV, No.1 (Spring 1969), 66-80.

4 Alex Rodger, "Linguistic Form and Literary Meaning: A Stylistic Analysis of an Early English Lyric," in Applied Linguistics and the Teaching of English, eds. Fraser and O'Donnell (London: 1969), pp. 88-98.

In 'Taking a Poem to Pieces,' John Sinclair promises to "carry the reader of literature to the brink of linguistics."[1] His hypothesis in the paper is that

> the grammatical and other patterns are giving meaning in a more complex and tightly packed way than we expect from our familiarity with traditional methods of describing language.[2]

Working within the theoretical framework of Halliday's Categories of the Theory of Grammar, Sinclair postulates two extra-grammatical terms ('extra' in the sense that they are not a part of 'Categories' of the Hallidayan theory of grammar) in order to deal with the setting up of intra-textual patterns in literary texts. We have already seen in the previous section how Halliday, in his paper 'The Linguistic Study of Literary Texts,' comes to a point where he acknowledges

> It is this 'set toward the message' that determines the particular type of linguistic patterning that is characteristic of literature... ... If we keep the word 'pattern'... ...as a crucial property of language as such, then the special property of literary language is the patterning of the variability of these patterns.[3]

At this point Sinclair may be said to take over from Halliday. In "Taking a Poem to Pieces" he investigates the patterning of the variability of linguistic patterns in a literary text. In order to study the intra-textual patterns, Sinclair takes up First Sight, a short lyric by Philip Larkin. In the course of analysis of the poem, Sinclair mentions two aspects

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1 John Sinclair, "Taking a Poem to Pieces," in Essays on Style and Language ed. Roger Fowler (London: 1966), p. 68.

2 Ibid.

3 Halliday, op.cit.

of linguistic organization which play an important part in the setting up of the intra-textual patterns in the literary texts. Both of these patterns are syntactic i.e., they have nothing to do with the lexical or phonological patterns. Initiating the use of the term 'Arrest' Sinclair writes

> Here there is a serious difficulty in terminology. A term is needed to indicate a sentence in which the onset of a predictable independent clause is delayed or in which its progress is interrupted... ...I want to use the term arrest for this type of structure, without wishing to suggest that any occurrence of this structure produces an effect of arrestment.[1]

The second term, 'Release,' is introduced much more briefly as "releasing (where there are no remaining grammatical predictions)."[2] Release, in Sinclair's sense, occurs when a syntactic structure is extended after all grammatical predictions have been fulfilled. Arrest and release are, thus, built up on the writer's denial or fulfilment of the reader's grammatical expectations derived from his knowledge of the code. They are intra-textual patterns or patterns imposed on the text--over and above those required by the code. The expectations belong to the reader's knowledge of the code; the patterns of arrest and release belong to the text. They emerge in the process of the reader's adjustment of the expectations of the grammar to the linear organization of the text.

5.4.2 In setting up these terms Sinclair makes it clear that the features of text which he calls 'Arrest' and

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1 Sinclair, op.cit., p. 72.
2 Ibid., p. 74.

'Release' are not significant in themselves. His hypothesis is that these patterns "are giving meaning in a more complex and tightly packed way than we expect from our familiarity with traditional methods of describing language" (my emphasis). Arrest and Release make the syntactic organization of a text a pattern on its own. 'Expectancy,' to use Riffaterre's term,[1] is the basis of 'Arrest' and 'Release', because both are based on the decoder's knowledge of the syntactic expectancy set up by the code. While 'Arrest' is defeated syntactic expectancy 'Release' is unexpected syntactic extension. Because of the poet's manipulation of expectancy features, 'arrest' and 'release' compell the reader's attention, not only to the semantic message of the text, but also to 'the set' (the Einstellung) i.e., to the text embodying the message. In the literary texts, unlike other texts (say a legal document), the syntactic patterns are themselves meaningful: features such as arrest and release have communicative functions. As a brief illustration let us take a few lines from Wordsworth's Lines Written in Tintern Abbey (Lines 76-83:

1 The sounding cataract 76
2 Haunted me like a passion; the tall rock,
3 The mountain, and the deep and gloomy wood,
4 Their colours and their forms, were then to me
5 An appetite; a feeling and a love, 80
6 That had no need of a remoter charm,
7 By thought supplied, nor any interest
8 Unborrowed from the eye. 83

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1 M. Riffaterre, "The Stylistic Function," in Preprints of Papers for the IX International Congress of Linguists, (Cambridge: Mass, 1962), p. 210.

Orthographically speaking, the sentence ends in the middle of line 8, but at the clause level all the syntactic expectations are fulfilled with the verbal group, 'Haunted me like a passion.'

The sounding cataract
Haunted me like a passion;

The clause following the colon is a 'parallel' structure, and syntactically the first three nominal groups 'arrest' the onsetting of the parallel clause. Thus, the first clause has the structure of a neat statement: SPCA (i.e., 'the four primary elements of clause structure'--the subject(S), predicator(P), complement(C), and adjunct(A)) while the next clause has five nominal groups (NP+NP+NP+NP+NP) before the verbal group arrives. Although the second clause is a 'free clause' just as the first one is, it is a contrast to the first one. Besides, 'Haunted me like a passion' and 'were then to me an appetite' do not have the same proximity to the narrated experience. The communicative import of the second clause is close to that of a loud reminiscence: someone trying to formulate his past experience as he goes along leisurely with defining what he is recollecting. The communicative impact is more expansive and elaborate than that of a direct statement. This stands in contrast with the preformulated and 'ready-made' syntactic structure of the first clause. In the immediately following clauses the communicative impact of intra-textual patterns is accumulative in the sense that the syntactic structure does not conform to the regularity and expectancy set up by the elements that have gone before.

The encoder is 'initiating' the decoder into his experience, not only clause by clause, but also group by group, in measured syntactic units, as it were. The third clause, following the semi-colon in line 5, is another instance of 'release' at clause level:

a feeling and a love,
That had no need of a remoter charm,

while at the group level the following groups

By thought supplied, nor any interest
Unborrowed from the eye

are also examples of 'release.' The impact of elaborating the syntactic structure even after the decoder's expectations are already fulfilled, is "to impose the encoder's way of thinking on the decoder,"[1] compelling the latter's attention, not only to <u>what</u> is being said, but also to <u>how</u> it is being said which is an integral part of a literary text. This promotes, on communicative level, what Jakobson calls "the palpability of signs, by deepening the fundamental dichotomy of signs and objects."[2] In a literary text the writer may, thus, be said to strive for 'grammatical and other patterns' which are 'more complex and tightly packed' than in ordinary texts. In 'Generative Grammar and Stylistic Analysis,' Thorne gives two sentences which roughly mean the same:

1. The dog chased the cat that killed the rat that ate the corn.

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1 Michael Riffaterre, "The Stylistic Function," in <u>Preprints of Papers for the IX International Congress of Linguists</u> (Cambridge, Mass: 1962), p. 209.

2 Jakobson, "Linguistics and Poetics," in <u>Style in Language</u>, ed. Sebeok (MIT Press: 1964) p. 356.

2. The rat the cat the dog chased killed ate the corn. The first sentence is a right-branching structure while the second is self-embedding. The second sentence is more difficult to understand than the first. In Sinclair's terminology the first would be an instance of 'release' while the second, of 'arrest'. 'Embedding' in the subject position tends to make an utterance complex and terse, as in Thorne's example. Embedding in the object position, on the other hand, tends to be elaborative or 'releasing' in Sinclair's sense. The arresting element is marked as significant because it comes to interrupt the expected syntactic completion. However, too prolonged and frequent a chain of arrest could make a text dense and complex. But whenever an arrest interposes between a syntactic onset and its fulfilment it is given a prominence in the textual organization. Thus in our Wordsworth example

> The sounding cataract
> Haunted me like a passion: the tall rock,
> The mountain, and the deep and gloomy wood,
> Their colours and their forms, were then to me
> An appetite;

the nominal groups---the mountain, the deep and gloomy wood, their colours and their forms---are examples of an intra-textual pattern which tends to give strategic prominence to certain elements in the organization of the message.

5.4.3 It is worth clarifying that Sinclair's terms are pretheoretic descriptive labels which he uses for features of poetic texts. 'Arrest' and 'Release', as Sinclair defines them, are intra-textual features, not formal categories of the grammar which have a theoretical status.

Sinclair does not claim any formal or theoretical status for his terms. He is merely describing two features of intra-textual patterns which can be detected in poetic texts by making syntactic expectancy as a criterion. Unlike 'cohesion'—a concept which is formally defined in terms of 'new alignments of established categories,' 'arrest' and 'release' are introduced by Sinclair as informal and convenient labels for certain features of linguistic organization of poetic texts. In setting up these fresh descriptive labels, Sinclair is using grammar as a norm for analysing the rhetorical functions of sentences as they combine to make a text. 'Arrest' and 'release' help us to trace how each sentence helps to create a text. Although Sinclair is interested in intra-textual patterns the perspective that he uses is that of the sentence, not of the text as a communicated whole. Since syntactic expectancy is the criterion for deciding the features of 'arrest' and 'release', it is, perhaps, more logical to talk of inter-sentential patterns than to talk of intra-textual patterns. 'Arrest' and 'release' are rhetorical functions of each sentence in itself, and the fact that the sentences make a text does not seem to make any difference.

5.5. From Scale-and-Category Grammar to Systemic Grammar

5.5.1 'Categories of the Theory of Grammar' is the theoretical framework behind the descriptive apparatus of stylistic analyses attempted, and the models exemplified, in the works of Halliday and Sinclair. But since 1966, with the publication of Halliday's "Some Notes on 'Deep' Grammar,"[1]

1 Halliday, "Some Notes on 'Deep' Grammar," Journal of Linguistics, 2, No. 1, (April, 1966), pp. 57-67.

the theoretical framework itself has received a new emphasis, and as a result some of the important aspects of the earlier descriptive apparatus have receded into the background while others have received further elaboration. All these new developments have a direct bearing on Halliday's later work on literary stylistics. As such, it will not be out of place to discuss the new developments in Hallidayan theory of grammar in brief before we go on to consider his later work on stylistic analysis. Only those aspects of the developments will be considered here which are at once new and fundamental to Halliday's work on the stylistic analysis as illustrated in his analysis of the language of William Golding's novel The Inheritors.[1] The major new preoccupation in Halliday's later works on the theory of grammar is with explicitness. As he puts it,

> It goes without saying that the concept of an explicit grammar implied by this formulation derives primarily from the work of Chomsky, and that steps taken in this direction on the basis of any grammatical notion are made possible by his fundamental contribution.[2]

Chomsky's fundamental contribution that Halliday speaks of here is the distinction between 'surface structure' and 'deep structure'—the former being "a proper bracketing of the linear, temporally given sequence of elements with the paired brackets labelled by category names" while the

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1 Halliday, "Linguistic Function and Literary Style: An Inquiry into the Language of William Golding's The Inheritors," in Literary Style: A Symposium, ed. Seymour Chatman (London: Oxford, 1971), pp. 330-365.

2 Halliday, "Some Notes on 'Deep' Grammar," op.cit., p. 62.

latter is "a much more abstract representation of grammatical relations and syntactic organization--in general not identical with its surface structure."[1] In transformational grammars 'surface structure' is derived from 'deep structure' by transformations of various sorts e.g., deletion, substitution, transposition. The 'derivational' history of a surface structure is what comes between the deep structure and the surface structure, and that is why, in general the two are not identical. One way to represent Halliday's later work is to approach it as an attempt to incorporate into his grammar the notion of deep structure by finding an alternative to the transformational apparatus. In Scale-and-Category grammar although the fundamental categories postulated for grammar are four--i.e., unit, structure, class and system, the representation of language is in terms of what Halliday later calls "inherently surface concepts" of class and sequence. In relating the theory to the data, description represents language as a "linear sequence of classes"--i.e., the nominal group, the verbal group, the adverbial group or at a lower rank as noun, verb, adjective etc. In Scale-and-Category grammar the representation of language as a configuration of functions is either at the group level as modifier-head-qualifier or at the clause level as subject-predicator-complement-adjunct. These configurations of functions are described solely in terms of relations on the

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1 Halliday, "Some Notes on 'Deep' Grammar," op.cit., p. 57.

syntagmatic axis so that a configuration of functions like modifier-head-qualifier (MHQ) or subject-predicator-complement-adjunct (SPCA) becomes an arrangement of class. In the grammar, thus, both configurations of functions and the arrangement of class are represented by the category of 'structure'. In this grammar 'system' remains the least explicit of the four categories, presumably because its place in the grammar becomes more and more prominent only as the description itself moves from lower scales of delicacy to higher ones. "A system," says Halliday, "is by definition closed." A system is a closed paradigm of choices open in any given point in 'structure'. In other words, a system is a range of choices available at any given point in structure. While structure is a linear sequence, a syntagmatic relation, 'system' is a non-linear paradigmatic relation. But system is not only the least explicit category in Halliday's Scale-and-Category grammar, it is also the category whose function is mostly in abeyance in the stylistic analyses he had done since. Just as his Scale-and-Category grammar operates within "inherently surface concepts," specifying the items of the language and their arrangement, his analyses of literary language have been in terms of formal, not in terms of functional, notions of language.

5.5.2 The later developments in Halliday's grammar, as we saw earlier on, originate in the attempt to incorporate into the grammar the notion of 'deep' grammar and make the category of 'system' more explicit. The later works have been grouped together under the cover term 'Systemic

Grammar'--which is often contrasted with the 'vintage' model---i.e., Scale-and-Category Grammar. In "Notes on 'Deep' Grammar," Halliday writes

> The 'system' may be glossed informally as a '"deep" paradigm,' a paradigm dependent on functional environment... ...A system is thus a representation of relations on the paradigmatic axis a set of features contrastive in a given environment.[1]

Here Halliday identifies 'system', not only with a closed network of contrastive options in a given environment in structure, but also with what he calls a 'deep paradigm.' The paradigm is 'deep' in the sense that the choices from the paradigm have semantic relevance. Although

> systemic description may be thought of as complementary to structural description, the one concerned with paradigmatic and the other with syntagmatic relations[2]

Halliday considers one as more close to the fundamental syntactic organization of language than the other.

> Presenting the systemic description of a linguistic item as the underlying grammatical representation of that item would seem to imply that its paradigmatic relation to other items of the language was in some way more fundamental property, from which its internal structure is considered to be derived.[3]

In "Categories of the Theory of Grammar," grammar is defined by Halliday simply as "that level of linguistic form at which operate closed systems." In his "Notes" however, he seems to be postulating two species of description: 1. systemic description and 2. structural description. Although the two are complementary the former is described as "in some way more fundamental property." Thus the new

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1 Halliday, "Notes on 'Deep' Grammar," p. 60.
2 Ibid., p. 62.
3 Ibid.

approach is based on the view that

> Underlying grammar is 'semantically significant' grammar... ...What is being considered therefore is that part of the grammar is as it were 'closest to' semantics, may be represented in terms of systemic features.[1] (my emphasis)

It is obvious that Halliday is taking the systemic network of contrasting features as "an instance of the convergence of semantic and distributional criteria."[2] He sees the elaboration of these systemic networks as one way of supplying an underlying or deep structure which makes the grammar explicit, i.e., precise as to the derivation of a given structure or sequence of elements.

5.5.3 Although Halliday's systemic ideas can be traced back to "Notes on 'Deep' Grammar," the elaboration of systemic views took place in a number of separate publications--particularly in "Notes on Transitivity and Theme."[3] More recently Halliday has shown interest in incorporating, not only some transformational-generative notions into the grammar, but also 'functional' approaches to language. In "Language Structure and Language Function" Halliday shows "the usefulness of a synthesis of structural and functional approaches to language." As he puts it

> The particular form taken by the grammatical system of language is closely related to the social and personal needs that language is required to serve. But in order to bring this out it is necessary to look at

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1 Halliday, "Notes on 'Deep' Grammar," pp. 62-63.
2 Ibid., p. 64.
3 Halliday, "Notes on Transitivity and Theme in English, Part I & II," Journal of Linguistics, 3 (1967), pp. 37-82, pp. 199-244.

> both the system of language and its functions at the same time.[1]

Halliday rejects "purely extrinsic account of linguistic functions" because "until we examine its grammar there is no clear reason for classifying its uses in any particular way." He considers the whole network of systemic sets of options as the 'meaning potential' of language, and "these networks of options correspond to certain basic functions of language."[2] He postulates three basic functions which are "relevant to the general understanding of linguistic structure rather than to any sociological or psychological investigation." These functions are:

1. ideational (to express a content)
2. interpersonal (to establish and maintain social relations)
3. textual (to express a connected message in a given context as an operational unit of language).

Without going into the elaborate details of how the structure of the clause reflects all these three functions, the neat segmentation of the basic core of language according to function is necessary to be qualified by two major points that Halliday makes:

1. there is a high degree of indeterminacy that is present throughout language, in its categories and its relations, its types and its tokens.[3]
2. the syntax of a language is organized in such a way that it expresses as a whole the range of

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1 Halliday, "Language Structure and Language Function," in New Horizons in Linguistics, ed. John Lyons (Penguin: 1970), p. 142.

2 Ibid.

3 Halliday, "Linguistic Function and Literary Style," p. 334.

> linguistic functions, but that the symptoms of functional diversity are not to be sought in single sentences or sentence types... ...each sentence embodies all functions.[1] (my emphasis)

If "every speech act serves each of the basic functions of language,"[2] one thing is certain: we cannot establish a one-to-one relationship between language functions and sentence-types. How are the functional differentiations reflected in language structure, then? (Incidentally, Halliday uses the terms 'structure' and 'system' in his later papers quite freely and with less discrimination than is expected after his notes on deep grammar where he seemed to use one as 'derivable' from the other). Not only that we cannot show any direct relationship between 'language function' and 'sentence type'; it is not possible to associate any systemic network with just one function of language for the simple reason that "every option in language is related to every other." The system is an interlocked network of options, deriving from all the various functions of language. Halliday's approach to the question of relationship between language function and language structure is of crucial significance to his later work on literary stylistics. It is, therefore, desirable to have a clear and precise view of what he has to say on this relationship. In order to summarize his views two quotations will be given first:

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1 Halliday, "Linguistic Function and Literary Style," p. 334.
2 Halliday, "Language Structure and Language Function," p. 144.

1. It is being claimed that all systemic contrasts in grammar derive from one or other of these functions... ...In the table, each system is shown as having just one function as its origin. In fact, however, certain systems in one way or other exemplify the intersection of a pair of functions, and so shed further light on the nature of the functional concept.[1]

2. A functional theory of language is a theory about meanings, not about words or constructions; we shall not attempt to assign a word or a construction directly to one function or other.[2]

The only conclusion one could draw from the above quotations is that the diversity of language functions is reflected in (which does not necessarily mean that these functions corresponds with) the systemic networks of options. Keeping the categorical distinctions between 'system' and 'structure' intact, it appears that wherever the functional distinctions of language are reflected they are reflected not in 'structure' but in 'system'--i.e., not in words or constructions, classes and sequences, but in the networks of interrelated and semantically consequential options. In other words, the central point of Halliday's arguments is that the language functions are embedded in the language system and that the systemic choices may broadly be said to derive from these functions though they do not correspond one-to-one and that a language function is not reflected in a clause-type. Language functions have to do with 'meanings' not with 'constructions'; as such, clause-types reflect language functions in so far as they form part of one or other systemic options. Almost all of Halliday's recent

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1 Halliday, "Functional Diversity in Language," Foundations of Language, 6 (1970), p. 326.
2 Halliday, "Linguistic Function and Literary Style," p. 337.

works on grammar are devoted to "a synthesis between structural and functional approaches"--e.g. transitivity-ideational function; mood and modality-interpersonal function, and theme and information structure-textual function. These new developments in Halliday's theory of grammar are of great interest to linguistics as a whole. The above resumé is given only to enable us to show, in the following sections of this chapter, how these developments in the theory of grammar influence Halliday's own practice in stylistic analysis.

5.5.4 Just as in the theory of grammar Halliday's work has moved away from "inherently surface concepts" to "systemic" ones, his work on stylistic analysis of literary texts has moved away from a formal linguistic description of the texts to a semantics-based approach. The transition is from a non-interpretational model of descriptive analysis to a meaning-based descriptive analysis. In his paper at the IX International Congress of Linguists Halliday had already hinted at the inadequacies of an approach to literary texts which considers them as just another instance of language event. As Halliday points out in that paper, literary texts show more patterns than are required by grammar, and Halliday had already singled out this feature as the central one of the literary language. In this respect, "The Linguistic Study of Literary Texts" is already a step in the direction his later work takes. What constraints there were in his earlier work to make a significant breakthrough were the

constraints of the theoretical framework itself. There was no scope for incorporating any semantic criteria into the descriptive framework of Halliday's earlier stylistic analyses. The patterns required by grammar and lexis and the patterns of grammar and lexis created in the text were the limits of earlier analyses. Halliday's recent work on stylistic analysis, as exemplified in his paper "Linguistic Function and Literary Style: An Inquiry into the Language of William Golding's The Inheritors," is an attempt to break away from the self-imposed limits of formalism in the analysis of literary texts. Just as in the theory of grammar he is influenced by the Prague school in his desire to synthesize the functional and structural approaches to language so he is indebted to the Prague notions of foregrounding in postulating what Halliday calls "the criteria of relevance" in stylistic analysis. We have already seen how Halliday regards a functional theory of language as "a theory about meanings, not about words and constructions." In so far as Halliday bases his stylistic analysis on the functional theory, the criteria that he establishes for distinguishing between "significant (i.e., due to the subject-matter.)" and "trivial or merely statistical prominence" are semantic criteria. The area of language structure that Halliday investigates in Golding's novel is itself an area which is "closest to semantics" i.e., the systemic options in the ideational functions of language.

5.5.5 In his paper on Golding's language Halliday comes round to one of the central problems of stylistic

analysis. It is, as he puts it, "the problem of distinguishing between mere linguistic regularity, which in itself is of no interest to literary studies, and regularity which is significant for the poem or prose work in which we find it."[1] This is a major point of departure from Halliday's earlier models of stylistic analysis where "the merely statistical prominence" (e.g., the high density of specific deictic 'the' in Yeats's Leda and the Swan) seemed to attract as much attention as "true foregrounding". A formal model of analysis which ignores, among other things, the meaning of a literary text, cannot distinguish between regularities which are trivial and those which are 'significant', because what is of significance can be identified only with reference to the meaning of the text as a communicated whole. Thus, Halliday abandons his earlier restrictions and advises the student of style to cross the frontiers of semantics. In fact, on the face of it he makes it a first pre-requisite for the study of style. He writes,

> It seems to me necessary, first of all, to discuss and to emphasize the place of semantics in the study of style; and this in turn will lead to a consideration of "functional" theories of language and their relevance for the student of literature.[2]

Halliday now rejects the relevance of mere prominence of a statistical kind i.e., linguistic regularities which have no motivation. He defines "foregrounding" as "prominence that is motivated," and motivation in his sense can be

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1 Halliday, "Linguistic Function and Literary Style," p. 330.
2 Ibid.

ascertained only by reference to the meaning of the text as a whole. As Halliday puts it,

> A feature that is brought into prominence will be "foregrounded" only if it relates to the meaning of the text as a whole. This relationship is a functional one: if a particular feature of the language contributes by its prominence, to the total meaning of the work, it does so by virtue of and through the medium of its own value in the language--through the linguistic function from which its meaning is derived. Where that function is relevant to our interpretation of the work, the prominence will appear motivated.[1]

Although Halliday rejects the prominence of a statistical kind he does not reject counting. He seems to agree with Miller who says that counting has many positive virtues. There are two points which emerge from the above quotation: 1. Foregrounding is prominence that is related to the meaning of the text as a whole, and 2. The foregrounded features derive their meaning from the linguistic function i.e., through the medium of their own value in the language system. Here Halliday is thinking of language system as the total network of meaning potential. In stylistic studies the foregrounded features that are relevant are the ones which are prominent, not so much statistically, as semantically, and when they are prominent semantically (i.e., in terms of the meaning of the text as a whole), the author will certainly have drawn upon the meaningful options available in the systemic networks of the language. These networks, in their turn, are functional in origin. Thus Halliday's main line of theoretical arguments in the paper may be summarized in two straightforward quotations:

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1 Halliday, "Linguistic Function and Literary Style," p.339.

1. Statements about linguistic prominence by themselves offer no criteria of literary value.[1]

2. 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.[2]

From these general statements it would, thus, appear that Halliday is pleading for a synthesis of three different strands of theoretical work done in recent years in linguistics: 1. Systemic grammar as 'deep grammar' originally inspired by the transformational notion of 'deep grammar'. 2. Functional approach to language (based on intrinsic structure of language) originally inspired by the Prague linguists, and 3. Foregrounding as motivated prominence of linguistic features. While the first of these three may be said to be an elaboration of 'Categories of the Theory of Grammar' neither of the other two is foreshadowed in it.

5.6. Syntax as Index to Vision: Halliday's Later Work on Stylistic Analysis

5.6.1 In his recent work on stylistic analysis Halliday is concerned with the problems of relevance and prominence, i.e., prominence of linguistic features which is motivated. These foregrounded features need not necessarily be "syntactic irregularities". A selection of everyday syntactic options may be just as foregrounded and motivated as a selection of syntactic irregularities. The decisive

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1 Halliday, "Linguistic Function and Literary Style," p.344.
2 Halliday, Ibid., p. 339.

thing here is not irregularity but regularity which has some motivation. Thus the criterion of relevance as postulated by Halliday is not regularity but motivated regularity. But how does one decide whether the prominence of some linguistic features is motivated or not? To this Halliday's answer is:

> The prominence... ...is often due to the vision. But "vision" and "subject-matter" are merely the different levels of meaning which we expect to find in a literary work; and each of these, the inner as well as the outer, any as it were intermediate layers, finds expression in the syntax.[1]

Thus the subject-matter or vision is the main criterion for deciding whether certain foregrounded features of text are motivated or not, and it is in the syntax that each of the different levels of meaning (the immediate thesis of each utterance as well as the underlying theme of the text) finds expression. As such, the syntax becomes an index--a kind of 'surface' expression of the vision or subject-matter, and the subject-matter becomes the criterion to decide whether a particular feature foregrounded in the text is stylistically relevant or not. In Halliday's words,

> The immediate thesis and the underlying theme come together in the syntax; the choice of subject-matter is motivated by the deeper meaning, and the transitivity patterns realize both. This is the explanation of their powerful impact (in Golding's novel).[2]

Halliday analyzes three short extracts from William Golding's novel The Inheritors to illustrate how in the novel "grammar conveys levels of meaning." By relating his analysis to the notion of linguistic functions, Halliday

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1 Halliday, "Linguistic Function and Literary Style," p.345.
2 Ibid., p. 347.

argues,

> The foregrounded patterns, in this instance, are ideational ones, whose meaning resides in the representation of experience; as such they express not only the content of the narrative but also the abstract structure of the reality through which that content is interpreted.[1]

5.6.2 The analysis of the language of William Golding's novel The Inheritors is by far the most detailed, closely argued and persuasive one Halliday has produced. He selects three passages from the novel: Passage A, Passage B, and Passage C. He scrutinizes these passages "to examine an aspect of the linguistic resources as they are used first to characterize the people's world and then to effect the shift of world-view."[2] Halliday finds that "linguistically, A and C differ in rather significant ways, while B is in certain respects transitional between them."[3] Between Halliday's early work on stylistic analysis and his recent one a number of changes have taken place in the approach to literary texts. The most important change at the procedural level is, perhaps, the change in the 'rank' at which the linguistic aspects of literary texts are studied. In his earlier analyses Halliday hardly went beyond the rank of group in the category of unit. The group was nearly an unofficially preferred rank at which stylistic analyses were taken up. Although Halliday talks about patterning of the variability of patterns in literary texts his works did not reveal them. Even though he emphasizes that the

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1 Halliday, "Linguistic Function and Literary Style," p. 347.
2 Ibid., p.348.
3 Ibid., p. 349.

only valid unit of stylistic analysis is the whole text it is largely some isolated linguistic features that seem to fascinate Halliday rather than the existence of the text as text. In his analysis of Golding's language his approach is semantics-based. "The syntactic categories are per se the realizations of semantic options,"[1] says Halliday. Thus the earlier formalism in stylistic analysis is abandoned in favour of a broader approach which takes grammar as the realization of meaning. Since syntactic categories are to be approached as "the realizations of semantic options," the rank at which such analysis can be done cannot be lower than the clause. The clause has to be the minimum unit of analysis if one takes into consideration, not only the immediate thesis of each utterance, but also the underlying theme of the text as a whole. Finally, "relevance" implies, in Halliday's own words, "a congruence with our interpretation of what the work is about, and hence the criteria of belonging are semantic ones."[2] Thus, in the last analysis, "the theme of the entire novel" becomes a kind of sign-post for"the criteria of relevance," for distinguishing true foregrounding as against the merely statistical and the foregrounding of an absolute kind. The ultimate unit of Halliday's analysis is, therefore, neither the group nor the clause: it is the entire novel.

5.6.3 Halliday's work on the language of the three extracts from Golding's novel is centred on the dictum that

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1 Halliday, "Linguistic Function and Literary Style," p. 359.
2 Ibid.

"the theme is enunciated by the syntax."[1] Since transitivity is "really the cornerstone of the semantic organization of experience it is at one level what The Inheritors is about."[2] The following statement may be taken as the key to the whole analysis:

> The theme of the entire novel, in a sense, is transitivity: man's interpretation of his experience of the world, his understanding of its processes and of his own participation in them. The particular transitivity patterns that stand out in the text contribute to the artistic whole through the functional significance, in the language system, of the semantic options which they express.[3]

What we have discussed so far does not provide much clue to the actual procedure of analysis, and it is the procedure and its workability which are of as much significance as the descriptive adequacy of the theories that inspire the procedure. This is where literary stylistics comes closest to applied linguistics. As to the actual procedure of stylistic analysis of the three prose extracts, Halliday relies, as usual, on statistics. He counts the clause-types and transitivity patterns in these clauses. After establishing prominence on numerical grounds Halliday moves on to interpret the results on the basis of semantic criteria. As in his earlier work on stylistic analysis, Halliday uses tables to display the statistical findings on the frequencies of clause-types in the three extracts. To illustrate Halliday's later approach we take his analysis of what he calls 'Language A'--the language of the first of the three

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1 Halliday, "Linguistic Function and Literary Style," p. 356.
2 Ibid.
3 Ibid., p. 359.

extracts from The Inheritors. The first part of Halliday's comments is descriptive; the second, interpretative. In the first part syntax provides him with the patterns to look for: the clause-types, their quasi-semantic components and classification. These patterns are then counted, the exact number of each being given within brackets in the text of the descriptive statements. The main scheme of this stage of exercise has a close affinity with Halliday's earlier work on Yeats's Leda and the Swan--except that in the Yeats poem Halliday confines his analysis to statements at the group level. Here the patterns have not only a grammatical basis but also a strong semantic basis. The important difference between the two approaches is in the fact that in the later model grammatical dissection and statistical statement are not an end in themselves. They are there merely to establish the nature of linguistic features which are likely to be not only prominent but also motivated. The syntax and statistics tell us where to look for the motivated features although statistical prominence unrelated to thesis (utterance), theme (text), subject-matter (the literary work) or vision (the writer's world-view?) is of no consequence in itself. With these basic points in mind, let us briefly look at the syntactic and the statistical statements that Halliday makes on Language A at the descriptive level:

> The clauses of passage A (56) are mainly clauses of action (21), location (including possession) (14), or mental process (16); the remainder (5) are attributive. Usually the process is expressed by a finite verb in simple past tense (46). Almost all of the action clauses (19) describe simple movements ...; and of

> these the majority (15) are intransitive... ...The typical pattern is exemplified by the first two clauses, the bushes twitched again and Lok steadied by the tree, and there is no clear line, here, between action and location: both types have some reference in space, and both have one participant only... ... Moreover, a high proportion (exactly half) of the subjects are not people; they are either parts of the body (8) or inanimate objects (20), and of the human subjects half again (14) are found in clauses which are not clauses of action. Even among the four transitive action clauses, cited above, one has an inanimate subject and one is reflexive.[1]

The quotation above illustrates two basic features of later Hallidayan analysis: 1. syntax and statistics are two parameters of description in stylistic analysis; 2. along the syntactic parameter the statements made are both formal and notional (e.g., "a high proportion of the subjects are not people; they are either parts of the body or inanimate objects"). The next step that Halliday takes is by far the most significant. Without leaving the familiar grounds of syntax and statistics, Halliday moves on to interpret the semantic basis of the motivated linguistic features of Language A. It is this movement from formal-descriptive stylistics to notional-interpretative stylistics which makes Halliday's later work significant in terms of the promise it holds up to the students of literary style. The significance lies in the fact that here Halliday considers a linguistic feature not in isolation, nor because it interests the linguist, but because it "belongs in some way as part of the whole."[2] It is this

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1 Halliday, "Linguistic Function and Literary Style," p. 349.
2 Ibid., p. 359.

willingness to take the whole in considering the parts that makes Halliday's pursuit of prominence a pursuit full of possibilities for stylistic analysis. "The pursuit of prominence," says Halliday, "is not without significance for the understanding and evaluation of a literary work."[1] But, in terms of prominence, what does Halliday actually say which is of "significance for the understanding and evaluation of" The Inheritors? After classifying and tabulating the transitivity patterns in Passage A Halliday interprets the outcome of the exercise:

1. It is particularly the lack of transitive clauses of action with human subjects... ...that creates an atmosphere of ineffectual activity: the scene is one of constant movement, but movement which is as much inanimate as human and in which only the mover is affected--nothing else changes. The syntactic tension expresses this combination of activity and helplessness.[2]

2. The transitivity patterns are not imposed by the subject-matter; they are the reflexion of the underlying theme, or rather of one of the underlying themes--the inherent limitations of understanding, whether cultural or biological, of Lok and his people, and their consequent inability to survive when confronted with beings at a higher stage of development.[3]

3. The syntactic foregrounding... ...has a complex significance: the predominance of intransitives reflects, first, the limitations of the people's own actions, second, the people's world view, which in general cannot transcend these limitations--but within which there may arise, thirdly, a dim apprehension of the superior powers of the "others", represented by the rare intrusion of a transitive clause such as the man was holding the stick out to him. Here the syntax leads us into a third level of meaning, Golding's concern with the nature of humanity, the intellectual and spiritual developments that contribute to the present human condition,

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1 Halliday, "Linguistic Function and Literary Style," p. 359.
2 Ibid., pp. 349-350.
3 Ibid., p. 350.

> and the conflicts that arise within it, are realised in the form of conflicts between the stages of that development--and, syntactically, between the types of transitivity.[1]

The three quotations given above summarize the interpretational aspect of Halliday's later approach to stylistic analysis. The later model gives the question of prominence a central place, because it is prominence which serves as a link between syntax and semantics. The analysis of the grammar of Language A and the analysis of the meaning of the extract taken up in isolation from each other are unlikely to be very controversial. It is the link between grammar and meaning of the text which is one of the most intriguing problems of stylistics. In Halliday's terms prominence of syntactic features (e.g., the intransitive clause-types in Language A) is <u>the</u> link between grammar and meaning of a text. While all this seems clear in Halliday's analysis, the exact nature of the procedure of establishing the link is not quite clear. For example, does one decide about the vision, subject-matter, theme and thesis in advance, i.e., <u>before</u> setting out to explore prominence of syntactic features on statistical basis? Is the vision etc., discovered side by side with the discovery of prominent linguistic features of a text? Or, is the link between the two--grammatical features and the vision--established only <u>after</u> the prominence of these features has been statistically established? The viability of Halliday's model for the pedagogy of literature depends, not upon the cogency of his

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1 Halliday, "Linguistic Function and Literary Style," p. 351.

theoretical framework and arguments, but upon the explicitness of the procedure by which syntax is linked with meaning. In the early parts of his paper Halliday seems to suggest that it is the subject-matter or the theme of the text which enables us to tell the difference between the prominence which is motivated and the prominence which is merely statistical or of an absolute kind. The subject-matter or theme seemed to be the criterion for motivated foregrounding. But in the actual interpretational component of Halliday's stylistic analysis he seems first to establish a statistical prominence and then interpret the findings according to a pre-formulated view on what the novel or the specific text is about. What is the exact relationship between syntactic prominence--irrespective of the fact that it is motivated or unmotivated--and the theme of a text cannot be decided without making up one's mind in advance about one or the other. In the theoretical parts Halliday appears to suggest that we make up our minds first about the theme and then decide whether the statistical prominence is motivated or not. But in the 'practical' part of his analysis Halliday takes the statistical prominence as something 'given', and from these signposts he proceeds to interpret the syntactic foregrounding. This makes statistics the central factor in the model of stylistic analysis although it is the transitivity patterns and their components which are being counted. One indispensable step is, then, counting; for without counting prominence cannot be established. It is the procedural steps before and after counting that seem to require more

explicitness than Halliday has shown in his paper. In spite of the fact that the analysis is very close to the text there is some basic ambiguity in Halliday's model, particularly as to the following steps:

1. If "the criterion of relevance" is to be the theme or subject-matter of the literary work, does one interpret it in advance i.e., before one starts counting the transitivity patterns and the exact nature of their components?
2. If "the merely statistical prominence or the prominence of absolute kind" is no clue to motivation where does one approach the text from?

The ambiguity of Halliday's later procedure lurks in the fact that he starts off with statistics of transitivity patterns denying at the same time the relevance of mere statistical prominence. The tough rigour of statistics and the cogent framework of systemic grammar and functional view of its structure do not enable the reader to discover from where, in the first instance, did Halliday get his semantic interpretation of the text. When Halliday makes a statement of the following nature the interpretation becomes committedly speculative:

> Here the syntax leads us into the third level of meaning, Golding's concern with the nature of humanity; the intellectual and spiritual developments that contribute to the present human condition, and the conflicts that arise within it, are realized in the form of conflicts between the stages of that development—and, syntactically, between types of transitivity.[1]

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1 Halliday, "Linguistic Function and Literary Style," p. 351.

Although the theoretical validity of Halliday's stylistic analysis and interpretation of the specific texts he has approached, is unquestionable its practical applicability in the analysis and interpretation of other texts is what interests the students of literary style. For example, it will be fruitful to see what results are obtained by analyzing two extracts from Golding's Lord of the Flies--a novel in which Golding's "concern with the nature of humanity" is given a kind of reverse treatment, as it were. In Lord of the Flies the transition is not from the lower to the higher levels of development, but from the higher to the lower ones where a group of air-crashed school-boys are gradually transformed by some unidentifiable satanic power into a pack of barbarians. Will the motivated prominence reveal the meaning of the extracts? The answer is likely to depend, among other things, upon the extracts chosen. It seems the linguist can explicitly define the patterns of language to look for in the texts and then go ahead with counting them to establish a statistical prominence. As for the significance of these counted and classified linguistic features, Halliday seems to rely on intuitive perception of the meaning of the novel just as any literary critic would have done. What do the foregrounded linguistic features mean is not interpretable if the linguist has not made up his mind about what the novel as a whole means. In fact, even to decide whether the prominent linguistic features are false or true foregroundings Halliday is suggesting that we set up the theme, the subject-matter or vision as "the criterion of relevance,"

which in turn is, perhaps, to be apprehended and perceived intuitively rather than linguistically.

5.7. Conclusion

5.7.1 Halliday's stylistic analyses are directly related to his linguistic theories. The early model of stylistic analysis assumes an "applicational" approach to the literary text, because in the earliest stylistic analyses Halliday is more preoccupied with the validity of the categories of the theory of grammar than with the text as text. In the early analyses the text or literary extracts were analysed as examples of the code--i.e., the abstract formal system with which the linguist is concerned. As such, these analyses revealed the kind of data which are of interest to the linguist, but not necessarily of any intrinsic relevance to literary interpretation. It is not with the "uniqueness" of the literary text that Halliday was preoccupied: it is with the "non-uniqueness" of the parts that make the text that Halliday appeared to be concerned. Such an approach to the literary texts is a direct outcome of the status of description in Halliday's Scale-and-Category Grammar. In this grammar description "consists in relating the text to the Categories of the theory."[1] In this grammar there seems to be no distinction between the code as a formal system with which the linguist is concerned and the message as the use of the code in which the abstract categories and units of the theory of grammar

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1 Halliday, "Categories of the Theory of Grammar," Word, 17, No. 3 (Dec 1961), p. 243.

are no longer just units of the grammar. They have entered into a concrete relationship to make a message. The message is, in other words, more than the sum of the parts of the code. At this stage in the development of the theory of grammar Halliday seemed to be debating over how a literary text should be described, rather than over what value such a description as his has for the literary interpreter. The concern is over the propriety of the descriptive techniques and their theoretical validity. The precision and rigour of both of these can easily be established; the categories of the theory of grammar equip the analyst with items and patterns to identify and count in texts. These analyses also show the accessibility of all texts--literary as well as non-literary--to analysis by methods and categories of descriptive linguistics. It is, however, the relevance of the findings of such analyses to literary interpretation that seems to be open to debate.

5.7.2 In the early analyses Halliday confines himself to the data at the group level--the structure of the nominal groups, the verbal groups and their distribution. In his analysis of the language of William Golding's novel he takes an area of grammar which is closest to semantics and takes the clause as a unit of analysis. This, again, is determined by the change of emphasis in his grammatical theory--the shift of emphasis from "inherently surface notions" such as structure to "deep grammar" of systemic options. Halliday's findings at the group level are of interest to the linguist, but they are of dubious relevance to literary interpretation.

This, however, is not to deny the possibilities of using the structure of the nominal or verbal group as a comparative framework for stylistic analysis at some formal level. A great deal of relevant data can be collected for comparative purpose by confining the analysis entirely to the structure of the nominal group or the verbal group. A comparison of the distribution of specific deictic "the" is Sylvia Plath's Sculptor and W.B. Yeats's The Second Coming (See Appendix B) yields some interesting data (3 in Sylvia Plath and 17 in Yeats). Stylistic comparison cannot, however, go much further than these findings without trespassing across the frontiers of literary interpretation. At any rate, stylistic analysis at the group level seems to lend much less relevant data for literary interpretation than stylistic analysis at the clause level. The larger the unit of analysis the more semantically relevant becomes the data, so that a segmental analysis of the phonemic or morpho-phonemic structure of Yeats's Leda and the Swan is less likely to yield relevant data for literary interpretation than a clause-level structural analysis of the poem. This is because the clause is as much a complete formal-grammatical unit as it is a meaningful semantic one. In the end, when Halliday comes round to recognize "the special property of the literary language" as in his modified position, he appeals, not only to the patterns required by the code, but also to the patterns imposed upon the text. Side by side with this positional modification, from the very beginning Halliday had recognized grammatical and lexical cohesion as formal properties of a text. This alone, if nothing else

in his theory of grammar, would have, sooner or later, led him away from a simple taxonomic approach to stylistic analysis.

5.7.3 The critical phase in the developments in Halliday's stylistic analysis comes with his interest in "deep grammar". In stylistics this interest manifests itself in Halliday's search for "the criteria of relevance"--which is itself a semantic notion. In early analyses all data accumulated by stylistic analysis appeared to be their own justification. The interpretability of the findings was not a primary concern. What mattered was the validity of the theory--of the preformulated model of syntactic description. The turning point comes when Halliday rejects some linguistic data as less relevant than others--some as unmotivated and merely "statistical prominence" and others as motivated and "foregrounded" ones. Halliday sets up a priori semantic interpretation of the vision, the subject-matter or the theme of the text as "the criterion of relevance." While this solves one problem a number of others seem to arise on its trail and remain unresolved. There are crucial ambiguities in Halliday's analysis of Golding's language, but the most important one is not the procedural one, i.e., where does one start from in approaching a text? from counting the transitivity patterns or from a semantic interpretation? The most important ambiguity in Halliday's later model of stylistic analysis is in the definition of the goals of stylistic analysis. If one knows the theme, the subject-matter or the vision in advance--these being what Halliday proposes to set

up as "the criteria of relevance"---the statistics of transitivity patterns and the confirmation of prominent linguistic features will tell us nothing more. Stylistic analysis, in this sense, becomes an ancillary process of confirming, in terms of systemic grammar and statistics---taking transitivity patterns as a framework---whether a particular a priori interpretation of the text is valid. Stylistic analysis becomes an exercise in testing post hoc certain semantic interpretation of the text. Analysis comes here after interpretation merely to test its validity, as it were. If one knows in advance what the text is about the incentive to analyse it must be something other than that of finding out what it is all about. While the goals of stylistic analysis are clearly defined in early Halliday (i.e., to show the validity of the analytical and descriptive methods of the categories of the theory of grammar), they are much less clear in the later analysis. In his analysis of the language of Golding, Halliday brings in, not only systemic grammar, but also the functional theory of language and the Prague views on motivated foregrounding in literary texts. Without some clearly defined goals of stylistic analysis exercises in stylistic analysis are likely to resemble breaking the literary butterfly on the Juggernaut of linguistic theories. On analysing the frequencies of transitivity clause-types in two passages from the first and last chapter of William Golding's Lord of the Flies the following findings were made:[1]

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1 See Appendix C.

	Total No. of clauses	Participant		Action	
		Human	Inanimate	Intransitive	Transitive
Passage A	35	24	11	24	11
Passage B	40	20	20	33	7

	Location/Possession	Mental Process	Attribution
Passage A	3	5	9
Passage B	4	4	4

The passages were selected at random except for the prior knowledge that in the first chapter the boys had just air-crashed and are still civilized while in the last they have been transformed into savages. It is possible to interpret the two extracts—particularly the ratio between the human and the inanimate participants in Passage A as against the ratio in Passage B as "foregrounded" or thematically motivated. There are more clauses in Passage B, but less transitives (7 out of 40), and more inanimate participants in subject position (20 out of 40), as against 11 out of 35 in Passage A. These findings can be correlated to the theme of the texts and the subject-matter of the novel. But before such an interpretation could be theoretically valid and applicationally non-controversial, a large corpus of text of the whole novel will have to be subjected to close analysis. It may be that Golding's novels are written in a style in which there is a disproportionate distribution of certain syntactic features as stylistic 'options' rather than as rhetorical "choices" in Milic's sense.[1] That may, probably, have no thematic motivation

1 Louis T. Milic, "Rhetorical Choice and Stylistic Option: The Conscious and Unconscious Poles," in Literary Style: A Symposium, ed. S. Chatman (London: Oxford, University Press, 1971), pp. 77-94.

as such. Before one can deny such claims and counter-claims a large sample of texts from all Golding novels may have to be analytically scrutinized. Generalizations based on isolated extracts from Golding's novel may be true of the extracts, but not necessarily of the novel as a whole. A novel is a long stretch of text with a wildly varied and diverse syntactic terrain.

5.7.4 Halliday's work on stylistic analysis, both the early models and the later one, illustrates a number of important problems in stylistic analysis. While the early models show the possibilities and limitations of formal analysis they also prove that formal stylistics is its own justification. In taking up the analysis of texts the linguist's claim is the appropriateness of the tools he has used. As long as he confines himself to such claims stylistic analysis remains an auxiliary activity--one among several other activities of the linguist. If the merit of the tools were to be judged by the nature of the findings--particularly their relevance for semantic or literary interpretation, the linguist will have to step out of formalism and make claims on behalf of his methods which the findings may or may not support. This is already an untenable position as Halliday himself has come to insist on the need to distinguish between the linguistic features which are relevant for literary interpretation and those which are prominent but irrelevant for such interpretation. Thus, what was in the early Halliday merely a question of precise <u>description</u> becomes in the later Halliday a question of adequate <u>distinction</u> between the relevant and

the irrelevant linguistic features of a text. The later Halliday illustrates the possibilities and limitations of taking the grammar of a text as a system of choices in the meaning potential of the language. The indeterminate nature of the relationship between grammar and meaning is the paradigm of all problems of stylistic analysis, and the value of Halliday's later work lies, perhaps, more in the exploration of this problem than in the tentative solution he has proposed. Because in the end the problem of relationship between grammar and meaning in stylistics is, perhaps, a carry-over of all the theoretical problems of linguistics related to the nature of relationship between grammar and semantics and all the consequent contemporary debate in linguistics.

Chapter VI

Structural Approaches to Stylistic Analysis: Practice

6.0. Introduction

6.0.1 The purpose of this section is to investigate the relevance of some basic tenets of structural linguistics to stylistic analysis. Prior to the emergence of transformational-generative models of linguistic description the structuralists represented the dominant tradition and approach in the twentieth-century linguistics. With their sources in the works of Ferdinand de Saussure (1857-1913) and the Prague School in Europe, and Edward Sapir (1884-1939) and Leonard Bloomfield (1887-1949) in America, linguists of diverse schools and theoretical persuasions, in spite of their considerable differences, have often been associated under the same label as 'structuralist'. An immense body of literature, devoted both to theory and its application to the description and analysis of natural languages, has been produced by the mid-century. Applying the term loosely one could describe this literature as 'structuralist'. In describing much of modern linguistics by and large as 'structuralist' in orientation one is, perhaps, thinking more of what differentiates modern linguistics from the 19th century philological tradition of the Indo-Europeanists, than of what unifies a heterogeneous corpus of works, both theoretical and descriptive, done in this century. Although 'structuralism', as Lyons puts it, is now a "rather fashionable word"[1] not all twentieth-century works on linguistics can be described as 'structuralist' in

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1 John Lyons, New Horizons in Linguistics (Harmondsworth: Penguin, 1970), p. 15.

orientation unless one is willing to stretch the label to the point where it becomes a merely convenient label. While structuralism as an intellectual tradition has continued to thrive, not only in linguistics, but also in other social sciences in both America and the continental Europe, one does not really know whether the best works of British linguists, from Henry Sweet, Daniel Jones, J.R. Firth to the Neo-Firthians belong to this tradition. As Halliday is one of the British linguists who has made an explicit theoretical statement of his position one can, for example, examine the connection of his scale-and-category grammar with the structuralist tradition. This will have the convenience of being a transition from the structuralist works on stylistic analysis to the Hallidayan models. In his scale-and-category grammar Halliday postulates four categories--unit, class, structure and system, and three scales--rank, exponence, and delicacy. What is the nature of relationship for instance between Halliday's categories and scales with the structuralist tradition as a whole? Both Postal and Lepschy include Halliday under the 'structural' label and discuss his theory of grammar in their surveys of structuralist tradition in linguistics. Although Halliday does not say so anywhere, as the highest level of abstraction in the theory of grammar these scales and categories are independent of any natural language. They were not inductively deduced from the investigation of natural languages. Are they, then, in the terminology of transformational-generative grammarians, "language

universals"? Lepschy calls the Hallidayan theory and neo-Firthian trend "one of the most interesting developments of contemporary structural linguistics."[1] Yet structuralists are said to approach *each* language inductively on its *own* terms. Although no structural linguist is known to have worked with a *tabula rasa*, an inductive approach to linguistic description is considered to be a basic tenet of structural linguistics. For instance, Faust considers such an approach a basic tenet of structural linguistics:

> Beneath any haggling over individual points lies the difference in approach. Traditionally we have started out armed with canonical lists of conjunctions and conjunctive adverbs, with definitions designed to justify the lists...On the contrary, the structuralists first observe the facts, and formulate definitions to match the facts.[2]

As a 'basic' tenet of structural linguistics what Faust says is true only insofar as he is talking about the *method*, but his statement becomes misleading if he is talking about the *theory* as well. For even the structuralists have theories, models and hypotheses about language. Even the structuralists have a 'pre-formulated' view about what is or is not a phoneme, a morpheme, a tagmeme, a word, or a sentence *before* they set out on their operations of segmentation and classification of language forms and structures. Faust's case merely shows why it is necessary to keep the theory apart from the method while discussing

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1 Giulio C. Lepschy, *A Survey of Structural Linguistics* (London: Faber, 1970), p. 124.

2 George P. Faust, "Basic Tenets of Structural Linguistics," in *Readings in Applied English Linguistics*, ed. Harold B. Allen (New York: Appleton, 1958), p. 67.

the basic tenets of structuralism.

6.0.2 The examples of Halliday's scale-and-category grammar and Faust's statement show how essential it is to isolate the basic notions which are central to structural linguistics from those which are merely peripheral. Any attempt to do so will have to begin with the distinction between structuralism as a set of theoretical assumptions and structuralism as a set of operational methods. To take the theoretical assumptions first, structuralism as an intellectual tradition makes a number of theoretical assumptions. The most important of these assumptions is that all patterns of human social behaviour are codes, with the characteristics of language, i.e., they all have a certain structure. Further behind is the assumption that man has an innate structuring capacity "which determines the limits within which the structure of all types of social phenomena can be formed."[1] Introducing this idea Garvin writes:

> The basic assumption of structuralism is that its particular object of cognition can be viewed as a structure--a whole, the parts of which are significantly interrelated and which, as a whole, has a significant function in the larger social setting.[2]

The notion of 'structure' leads the structuralist to the possibility of studying linguistic structure or form, as Saussure put it, independently of the substance in which it is realized. Structural linguists subscribe to the assumption that language is a patterned vocal behaviour,

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1 Michael Lane, Introduction, in Structuralism: A Reader (London: Cape, 1970), p. 18.

2 Paul L. Garvin, "Structuralism Beyond Linguistics," in Georgetown Monograph Series on Languages and Linguistics No. 13, ed. Bernard Choseed (Georgetown University Press: 1962), p. 93.

'organized noise' in Halliday's words, and therefore speech is primary and written language is secondary. Language is speech, and the written language derives from the transference of speech to a secondary, visual medium. In considering speech as a patterned behaviour there is also an obvious hint that structuralism in linguistics shows a certain leaning towards behaviourism in psychology. To use Saussure's own analogy of a musical performance, every performance of a particular piece of music is unique, in the sense that it differs from every other performance of the same work. What they have in common is a certain structure, which is itself independent of the physical medium in which it is realized. Utterances are instances of la parole. The underlying structure in terms of which we produce them as speakers and understand them as hearers is la langue in question. Saussure's view of language as a sign system (in which what is important is the relationship of the signs to one another than to what they signify which, in turn, is arbitrary) leads him to another important tenet of structural linguistics: structuralist analysis is centrally concerned with synchronic as opposed to diachronic structures. Its focus is upon relations across a moment in time, rather than through time. The history of a language is in principle irrelevant to its synchronic description. Saussure uses from various points of view a comparison between language and chess. With reference to synchrony we read in the Cours de Linguistique Generale:

> In a game of chess any given position has the peculiar characteristic of being independent from its antecedents....; to describe this position it is perfectly useless to recall what has just happened.[1]

Structuralist views have often been represented as a set of three dichotomies: la langue-la parole, synchrony-diachrony, and paradigmatic-syntagmatic. While the first and last of these are correlative terms of which neither can be studied without taking the other into account, this is not true of synchrony-diachrony. While the first two dichotomies have to do with structuralist assumptions the last one has to do mainly with the structuralist method. The structuralist method of analysis and description of language involves segmentation and classification of utterances into elements in terms of two basic and complementary relations: syntagmatic and paradigmatic. Sets of elements which can be substituted one for another in a given context are said to be in paradigmatic relationship; elements which combine to form a larger unit are said to be in syntagmatic relationship. The notion of substitutability shows whether the substitutable elements are in free variation or in opposition. A relationship in praesentia i.e., between elements which are all present in the message is syntagmatic; the relationship in absentia i.e., between the element in question, which is there, and other elements, which are not there in that particular message, is paradigmatic. In structural linguistics paradigmatics and

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1 Ferdinand de Saussure, Cours de Linguistique Generale (Lausanne: 1916), pp. 126-127.

syntagmatics (the correlational, 'either-or', and the relational 'both-and,' hierarchies, in Hjelmslev's terms, or 'choice' and 'chain' in Halliday's terms) are most often interpreted as code and message, i.e., as the distinction between an inventory of items and the strings of items constituting the message. The view that language is a structure and that the structure is synchronic is a logical corollary of the view that language forms a system that is fundamentally one of contrasts, distinctions and ultimately of oppositions. The elements of language never exist in isolation but always in relation to one another either in praesentia (syntagmatically) or in absentia (paradigmatically). Since these relations are relations of mutual and simultaneous interdependence it follows from this that the structure needs to be studied synchronically before it can be done so diachronically.

6.0.3 Although, with the advent of transformational generative models of syntactic description, structural approach to language has come under criticism and review the transformational analyses have not rejected the notion of structure. The transformational approach has revealed the inadequacies of what Chomsky calls 'taxonomic' approach to linguistic description. Taxonomic analyses limit themselves to segmentation and classification of utterances. The works of Harris and Hockett are typical examples of the taxonomic approach. The works of Charles C. Fries (The Structure of English) and George L. Trager and Henry Lee Smith (An Outline of English Structure) are examples of this approach in linguistic description. In their reaction

against the tradition of Latinate grammars and their categories, the structuralists maintain a severe methodological rigour and define "formal meaning" strictly on what they call "the distributional criteria." They postulate grammatical categories of English on the basis of the formal data of the English language, not of Latin. Secondly, the structuralists do not approach "formal meaning" in terms of "lexical or referential meaning." The rejection of what is often called "mentalism" is shared by Bloomfield, Bloomfieldians and post-Bloomfield structuralists alike. Stated in simple terms, the approach amounts to sticking strictly to the observed and observable data, i.e., the structural forms of language and their distribution. A structural statement is, therefore, a statement of what is observable, a statement of the structure in the observable data of linguistic forms.

6.0.4 Chomsky[1] postulated three criteria for evaluating the success of syntactic description of a language: 1. Observational adequacy, 2. Descriptive adequacy, and 3. Explanatory adequacy. On the basis of these criteria he finds the structuralist approach misleading, because it confines itself to observation and description of the surface structure of a language without presenting an explanation of how surface structures are generated from the deep structure. Two structures may be similar in terms of segmentation and classification, in terms of Immediate Constituent Analysis

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1 Noam Chomsky, "Current Issues in Linguistic Theory," in The Structure of Language: Readings in the Philosophy of Language, ed. Jerry A. Fodor and Jerrold J. Katz (New Jersey: Prentice-Hall, 1964), p. 62f.

or what Chomsky calls "Phrase Structure Grammars," but their "deep structure" or semantic interpretations may be completely different. Chomsky postulates a theory of grammar according to which grammar is a device which generates sentences and only sentences of a language—a device which pairs surface structure (sound) to deep structure (meaning) through a series of transformations; a device which reflects the competence of a native speaker who can understand, interpret and produce sentences of his language although he may have never heard these sentences before. The development of transformational models of syntactic description has put structuralism into a state of temporary disrepute. The intellectual association of American structuralists with behaviourism in psychology has made structuralist approach all the more vulnerable to criticism from both linguists as well as psycholinguists. All these do not, however, weaken the argument that in transformational grammars the notion of structure is not abandoned: it is elaborated into further ramification of the deep structure and the surface structure.

6.0.5 Chomsky's work on generative grammars is actually based on the work of the structuralists, particularly on Immediate Constituent Analysis and Harris's Discourse Analysis. In a sense, Chomsky's notion of grammar is closer to structuralism than the notion of the structuralists. Discussing social structures Levi-Strauss, for example, writes,

> The terms of social structure are not concerned with empirical reality, but with the models constructed

> upon it... ... Social relations... ... are the basic material from which the models that constitute social structure are built.[1]
>
> But structure has no distinct content. It is the content itself apprehended in a logical organization, conceived as a property of the real.[2]

Chomsky's notion of grammar as a device that generates the sentences and no non-sentences of a language is close to Levi-Strauss's notion of structure as a logical organization--'a property of the real.' What are the surface structure, the deep structure, the transformational component in generative grammars if not "the models constructed upon the empirical reality," rather than the empirical reality itself? Lepschy brings out this point clearly when he writes,

> A notion basic to structural linguistics, yet not hitherto sufficiently discussed, is that of model. ... ... The use of a model presupposes an analogy between the model itself and some aspects of the phenomenon which is under discussion. The analogy is based on the abstraction of those aspects which are relevant for the purposes of the discussion from others which are, for those purposes, not relevant. ... ... A structural description is marked by its abstraction and generality.[3]

Insofar as transformational grammars aspire to greater degree of 'powerfulness' and 'simplicity' of statement they may be said to have been operating within the structuralist tradition. Chomsky has exposed the inadequacies of taxonomic segmentation-and-classification approach to language, but his models of grammar are inconceivable without a long standing tradition of Immediate Constituent Analysis and other species of phrase structure grammar--all of which

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1 Claude Levi-Strauss, "Structure Sociale," Bulletin de Psychologie, 6 (May 5, 1953), pp. 358-390. Cited by Michael Lane in Structuralism.

2 Levi Strauss, "La Structure et la forme: Reflexions sur un ouvrage de Vladimir Propp," Cited by Lane, p. 31.

3 Giulio C. Lepschy, A Survey of Structural Linguistics (London: Faber, 1970), p. 25.

originate in the structural approach to linguistic description. The association of structuralism in linguistics and behaviourism in psychology is perhaps more an accidental phenomenon peculiar to the United States than an inevitable coming together of two disciplines. This is, perhaps, why 'structuralism' evokes a somewhat dissimilar association in Europe from what it does in America. In the following sections we propose to examine the models of stylistic analysis which have been inspired by the central notions of structural linguistics. By scrutinizing the works of Hill, Jakobson, Riffaterre, and Levin we shall be assessing the relevance of a number of procedures based on these ideas, particularly the ideas of structure, equivalence, the axes of selection and combination, the marked and unmarked poles, in the analysis of literary texts.

6.1. Structuralism in Stylistic Analysis: Hill's Experiment

6.1.1 Remarkably few linguists within the structuralist tradition have shown any interest in literary language and stylistic analysis. The linguists of the Prague School alone have produced some cogent statements on poetic style and structure, mostly along lines inspired by Russian formalism. As their work has already been considered separately in Chapter IV, we are here concentrating on the work on stylistics done outside this School. Right up to the middle of this century the structuralist preoccupation with the language of literature is so rare that in 1951 Whitehall, reviewing Trager and Smith's An Outline

of English Structure, writes:

> If, as Robert Fitzgerald recently wrote, English poetry has a hunger for a sound metaphysics, criticism in English ought to have a hunger for a sound linguistics. So far, where the hunger has existed at all, it has had to go unsatisfied. ... ... In our own country, neither the Eastern European formalist and structuralist critics (who certainly understood the European linguistics of their time) nor the behaviourist school of American linguists have had any perceptible effect on Anglo-Saxon literary criticism. Yet as no science can go beyond mathematics, no criticism can go beyond its linguistics.[1]

Whitehall is making a statement of fact (i.e., the structural linguists have had no perceptible effect on Anglo-Saxon literary criticism) as well as a statement of wish (i.e., criticism in English ought to have a hunger for a sound linguistics). However, from its inception structural linguistics was, in principle as well as in practice, indifferent to the written word, and insofar as literature is the written word the structuralist disowned theoretical or practical interest in it.

6.1.2 In terms of absolute chronology the first person to take up stylistic analysis from structuralist point of view in what Whitehall calls 'Anglo-Saxon literary criticism' is Hill. His analyses of Hopkins's The Windhover[2] and Browning's Pippa's Song[3] are avowedly 'experimental' in nature, and they are presented with no pretension to

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1 Harold Whitehall, "From Linguistics to Criticism," Kenyon Review, XVIII, No. 3 (Summer 1956), p. 415; reprinted from Kenyon Review, XIII (1951), pp. 710-714.

2 Archibald A. Hill, "An Analysis of The Windhover: An Experiment in Structural Method," PMLA, LXX (1955), pp. 968-978.

3 "Pippa's Song: Two Attempts at Structural Criticism," in Readings in English Applied Linguistics (New York: 1958), pp. 402-406.

The Windhover:

To Christ Our Lord

I caught this morning morning's minion, king-
  dom of daylight's dauphin, dapple-dawn-drawn Falcon, in
    his riding
  Of the rolling level underneath him steady air, and striding
High there, how he rung upon the rein of a wimpling wing
In his ecstasy! then off, off forth on swing,
  As a skate's heel sweeps smooth on a bow-bend: the hurl and
    gliding
  Rebuffed the big wind. My heart in hiding
Stirred for a bird,--the achieve of, the mastery off the thing!
Brute beauty and valor and act, oh, air, pride, plume, here
  Buckle! AND the fire that breaks from thee them a billion
Times told lovelier, more dangerous, Oh my chevalier!

  No wonder of it; sheer plod makes plow down sillion
Shine, and blue-bleak embers, ah my dear,
  Fall, gall themselves, and gash gold-vermilion.

G.M. Hopkins

Pippa's Song

The year's at the spring,
And day's at the morn;
Morning's at seven;
The hill-side's dew-pearled;
The lark's on the wing;
The snail's on the thorn;
God's in His heaven--
All' right with the world!

Robert Browning

completeness of a theoretical statement on 'structural' stylistics. Hill does, however, make a number of remarks which are of theoretical consequence for formulating such a statement. In the absence of a complete statement on structural stylistics it will be worthwhile to piece together what theoretical information is available from the practice of its advocates. In this respect Hill's work is notable in that he sets up a number of explicit criteria for stylistic analysis. To begin with, for testing or rejecting an analytical "hypothesis," i.e., structural analysis of a text, Hill adopts what he calls "the general criteria of logical analysis." These are: 1. Completeness; 2. Consistency; and 3. Simplicity. A 'structural' analysis is "not something imposed on the poem by the analyst,"[1] but an analytical hypothesis subject to testing and rejection on the basis of the three criteria set up above. The final arbiter is the text, and the criteria show that the poem may have several variant readings. The problem Hill sets out to solve is the one of choosing between variant readings by appealing, on the one hand to "the observable minutiae of language symbols," and to the general criteria of completeness, consistency and simplicity, on the other. Hill's model of analysis is based on two fundamental structuralist tenets:

1. A poem has structure, i.e., "the parts occur in such a fashion that their relation can be described, and used for prediction of recurrence."[2]

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1 Hill, PMLA LXX (1955), p. 968.
2 Ibid.

2."Poems are a sub-class of utterances, included within the larger class of all instances of language use."[1]

The methods are the ones used in the systematic analysis of language. Broadly speaking, they involve a) working from "observable, external, and formal characteristics, to the admittedly more important but certainly vaguer, resultant qualities of meaning,"[2] and b) working from the identification of smaller entities to the larger relations which are more broadly structural. In his analyses of Hopkins's The Windhover and Browning's Pippa's Song Hill uses George L. Trager's division of the field of linguistics into three levels. These are: 1. Prelinguistics-language considered merely as sound (phonetics and acoustics); 2. Micro-linguistics--language considered as a system and pattern of sentences, clauses, phrases, words, and word-elements, and 3. Metalinguistics--language considered as a meaning-system i.e., the correspondence between entities and structures in the microlinguistic world, and entities and structures in the metalinguistic world. The metalinguistic world is the world of meaning. Using this three-level division of the field of linguistics Hill writes about the structural approach to stylistics:

> So far as possible, the linguist works upward from the prelinguistic level rather than downward from the metalinguistic level. (My emphasis)[3]

Trager's division of the field of linguistics is tripartite, and implied in this division is the notion of hierarchy of

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1 Hill, p.968.
2 Ibid., p. 969.
3 Ibid., p. 972.

levels. Using this as a basis what Hill proposes to do is

> to construct a model of Hopkins' poem as nearly as possible on the microliterary level, without appeal to the metaliterary.[1]

Hill does not explain the exact nature of the correspondence between the microlinguistic and the metalinguistic levels on the one hand and the microliterary and the metaliterary levels on the other. One gets the impression that the difference between the two, where such differences exist, is merely in the nature of the texts under study. If the texts are literary, as in the case of Hill's experiment with the Hopkins poem, the levels become ipso facto microliterary and metaliterary. But the transition which Hill makes between Trager's model of linguistic field to its application in literary analysis is far from explicit.

6.1.3 One of the interesting points in Hill's analyses of Hopkins and Browning is the concern for an agreeable definition of 'style' and 'stylistics.' Because of the tripartite division of the field of linguistics, coupled with the notion of hierarchy of levels, Hill has to have a place for style before any operation of stylistic analysis can proceed by using George L. Trager's framework. Again Hill's solution to this problem is notable. Hill writes:

> A current definition of style and stylistics, is that structures, sequences, and patterns which extend, or may extend, beyond the boundaries of individual sentences define style, and that the study of them is stylistics. ... ... Stylistics always falls, then, between the area of microlinguistic items and structures, and the ultimate area of metalinguistic correspondences.[2]

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1 Hill, PMLA, LXX (1955), p. 973.
2 Archibald A. Hill, "Poetry and Stylistics," in Essays on the Language of Literature, ed. Seymour Chatman and Samuel R. Levin (Boston: 1967), p. 389.

Thus in Hill's terms style becomes an intermediate level between micro- and meta- linguistics, and stylistic relationships show themselves in the repetition of formal patterns from one sentence to the next. This is what Hill means when he says "stylistics... ...deals with relationships between sentences... ...linguistics deals with relationships within sentences."[1] After having thus delimited the field of stylistics, Hill begins his analysis of Hopkins's The Windhover by first attending to the details of stress and word-order. He establishes the utility of a 'formal approach' by showing how "the pattern of juncture and stress not only establishes the meaning; it immediately demonstrates a point about Hopkins's metrical practice."[2] The ambiguities of such lines as

I caught this morning morning's minion

or of phrases such as

dapple-dawn-drawn Falcon

can be resolved by examination of the formal characteristics of the phrase. Hill seeks to resolve these ambiguities by appealing to the formal pattern of juncture and stress or the normal English word-order. However, he does recognize that "there are instances in this poem where multiple meanings must be recognized, but these occur only when there is positive evidence for more than one interpretation."[3] Hill seems "to demonstrate the usefulness of linguistic knowledge

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1 Hill, Readings in Applied English Linguistics, p. 403.
2 Ibid, PMLA, LXX (1955), p. 969.
3 Ibid., p. 971.

considered as a preliterary tool" without ignoring the fact that

> the individual reader can make his own arbitrary choice, but I believe that he must choose, and can not keep both meanings.[1]

In his analysis of Hopkins's poem Hill confines his preliminary attention to matters of stress and word-order. When he comes to discuss 'broader structural problems' he begins by making a dubious statement:

> Now I shall discuss broader structural problems. I shall therefore sound more like a literary critic and less like a linguist. Yet I would maintain that the method is linguistic throughout.[2]

Hill discusses five or six structural problems in the poem--problems, for example, like the relation between six nouns in line 9 (Brute beauty and valour and act, oh, air, pride, plume, here), the meaning of the verb 'Buckle' in line 10, the meaning of phrases such as 'My heart in hiding,' (line 7), 'O my chevalier (line 11), and the structural implications of the identification of the bird with Christ. Hill's method can best be exemplified by his solution to the two of the problems mentioned above, i.e., the relation between six nouns in line 9 and the meaning of the verb 'Buckle' in line 10. Hill divides the six nouns into two sets of three, i.e., Brute beauty and valour and act/air, pride, plume. Hill matches the second noun from each set--valour and pride, and sets up "ethical meaning" as one of the"highly probable" contexts. He sets up 'bird' as another context by matching Brute beauty in set one with plume in

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1 Hill, PMLA, LXX (1955), p. 973.
2 Ibid., p. 972.

set two. The third pair, act in set one and air in set two, says Hill, "fit if we assume the context is flight." Setting up "bird," "flight," and "meaning," as likely contexts of these six nouns, Hill discovers that they "show them in a surprising but symmetrical 1-2-3: 3-2-1 order."[1] That the discovery of this structural symmetry is a justification of his interpretation appears to be Hill's argument. This is obvious also from his solution to the problem of the meaning of verb buckle in line 10. Hill rejects the suggestion that the verb is an imperative because

> The structure of Hopkins's sentence is a series of nouns followed by a verb. This is the pattern of an indicative sentence in which the nouns are the subjects; it is not the normal construction of an imperative sentence.[2]

Similarly, Hill rejects the interpretation of the verb buckle in the sense of a sudden dive of the kestrel to drop on its prey like a falling stone, because it lacks "structural support," i.e., "it makes the central image of this section of the poem one of cruelty and attack."[3] Hill then considers two possibilities: buckle can mean 'fasten,' and it can mean 'bend to the point of breaking.' In deciding on the meaning of buckle Hill points to these two meanings as "one working forward and suggesting 'fasten,' the other working backward, and suggesting 'break'." To this Hill adds,

> The likelihood of two meanings is increased by the fact that the two meanings are symmetrical, since they are opposites.[4]

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1 Hill, PMLA, p. 974.
2 Ibid., p.974.
3 Ibid., p. 975.
4 Ibid., p. 976.

Hill's approach to the poem is nowhere clearer than in the concluding section of the paper where he gives a sequence of 7 sentences which paraphrase 'the microliterary content of the poem.' What Hill gives here is a summary of the notional content of the poem. Hill writes:

> Since this content represents a pattern, it would be possible to demonstrate its symmetry by a spatial diagram.[1]

It seems that the long distance covered by Hill's experiment in structural method is covered for a revelation about the essential simplicity of the structure of Hopkins's poem. What Hill has to say, in the end, about the poem is thus summed up:

> The structural statement makes clear where the complexity and difficulty of the poem lie. They do not lie in the overall structure, which is severely simple, but in the ornate and intricate details.[2]

It seems that working within the framework of a particular linguistic theory Hill appears to be more interested in the discovery of pattern, structure or symmetry in the rich details of the poem than in the details as such. There is no better comment on Hill's method than the above concluding statement of his own. If the complexity and difficulty of the poem lie in the ornate and intricate details, Hill's method is potentially unrewarding in that all that it produces in the end is a paraphrase of the notional content of the poem, leaving out all the ornate and intricate details in order to show that the poem has a pattern and a severely simple overall structure. At the

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1 Hill, PMLA, p. 978.
2 Ibid.

same time, the positive bearings of Hill's experiment in structural method are obvious: a) Appeal to the micro-literary level in making choices from variant or possible readings, and b) Attempt to approach the poem as a unified structural whole. However, it may be noted that this comes nearly a quarter of a century after the "practical critics" of Cambridge school had raised such slogans as 'stick to the text.' The appeal to 'the observable' is not something strikingly new to literary analysis. What appears to be distinctly new in Hill is the attempt to construct the model of the poem by passing through what might be called the hierarchy of structures--from the lowest to the highest, from the lowest observable language forms to the highest metalinguistic unobservable--meaning. Faced with the problem of choice among multiple meanings Hill resorts to a decision procedure which considers the observables in the poem as the final arbiter. The general criteria of logical analysis, i.e., completeness, consistency and simplicity, which Hill set up in the beginning, are invoked, if ever, only when there is no other structural support for a particular reading he chooses.

6.1.4 In "Pippa's Song: Two Attempts at Structural Criticism," Hill elaborates some further details of the structuralist procedure. He defends Browning's poem on 'structural' grounds while Ransom[1] criticizes it for its final "tag of identification so pointed as to be

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1 John Crowe Ransom, "The Concrete Universal II," Kenyon Review, XVII (1955), p. 395.

embarrassing." Hill concedes that Ransom's approach is structuralist too, but Ransom operates within semantic units by disregarding the poem's formal features. On formal basis line 8

All's right with the world! (Noun+Copula+Phrasal modifier)

is not related to line 7, as Ransom suggests on semantic basis

God's in his heaven - (Noun+Copula+prep phrase headed by a noun)

Line 8 is related to line 4

The hill-side's dew-pearled; (Noun+Copula+Phrasal modifier)

The formal similarity between lines 4 and 8 is also backed by their linkage in rhyme. In the first part of Hill's analysis he claims to have used "a procedure... ...similar to that of linguistic analysis."[1] After having observed the formal characteristics of the poem at the level of line--each line being ended by a terminal juncture and each juncture-group with the grammatical form of a sentence--with subject, verb and complement, Hill searches for the relationship of these units to each other and to the whole poem. He establishes the grammatical similarities between the several sets of lines within the poem. Then Hill moves on to consider lexical meanings in the poem. After an elaborate analysis of the poem Hill produces two sets of what he calls "a schematic statement of the stylistic structure" of Browning's poem, given as a single sequence below:

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1 Hill, "Pippa's Song: Two Attempts at Structural Criticism," in Harold B. Allen, ed. Readings in English Applied Linguistics, p. 403.

Large A is at contained B (its best)	line 1
Smaller B is at contained C (its best)	line 2
Still smaller C is at contained D (its best)	line 3
Little X is good Y (its best)	line 4
Small E is on F (its best place)	line 5
Smaller G is on H (its best place)	line 6
Larger I is in J (its best place)	line 7
Therefore Large scene is at its best	line 8

To this may be added Hill's "final statement of the pattern of the poem":

> The statement that the poem deals with best entities and states has up to this time been a hypothesis--not contradicted at any point, but without confirmation. The last line furnishes explicit confirmation in the words "all's right." A final statement of the pattern of the poem is now: three analogically related descending statements and their results on a small scale, then three analogically related ascending statements and their results on a large scale. The surprise in structure is the departure from order which brings the smallest entities of the second part into contiguity.[1]

The method Hill used for arriving at the above statement is not linguistic but metalinguistic. Clarifying the point Hill writes:

> It might at first sight seem to be linguistic since linguistic data have been used at a number of points. Such a description would not be accurate. The method falls wholly within the area of metalinguistic--those portions of communication situation beyond the field of phonology, morphology and syntax. The linguistic data (phonology and grammar) were used as a tool for the first segmentation of the poem into components, in a fashion similar to the use of phonetic data for a preliminary segmenting of the sounds of speech into phonemic units.[2]

Hill claims that his approach "rests on one of the most basic assumptions in linguistics, that it is form which gives meaning and not meaning which gives form."[3] Ransom is critical of the poem, particularly of its conclusion;

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1 Hill, in Allen's Readings, p. 405.
2 Ibid., p. 406.
3 Ibid.

Hill does not make any evaluative statement as such though he perceives a structural unity and logical organization in the poem. Hill concedes that Ransom is also "structural in his approach, but uses semantically defined units without having worked through the formal linguist differentia."[1] Hill establishes a quick analogy, saying

> His method is therefore similar to that of traditional grammar, where a formal word-class such as nouns, is defined in terms of the semantic count of the class.[2]

Although Hill ends by saying, "evaluation may be left to the reader," he considers that both the interpretations cannot be true; one must be more complete, more consistent, and more simple.

6.1.5 Hill's works on Hopkins and Browning are important, not because he has something disturbingly new to say about the poems under observation, but because they exemplify a method of approach to literary texts--a method which is committed to a certain model of linguistic analysis--in Hill's case the model being structuralism. These works are 'experimental,' and in his attempts Hill does not lay claims to any theoretical status of the stylistic statements he makes in either of the works. As a structuralist Hill takes poems as a sub-class of utterances "included within the large class of all instances of language use." In his analyses his concern is with structure--micro as well as macro, formal as well as semantic. He approaches both the poems through a procedure which is "similar to that of linguistic analysis," i.e.,

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1 Hill, in Allen's Readings, p. 406.
2 Ibid.

working from the observable, external, and formal characteristics to the level of unobservable meaning. However, it is not the method but the conclusions to which Hill arrives each time that seem to leave the student of stylistics with little that is potentially promising. Each time Hill stops he does so with a matrix of macro-structures, a semantic paraphrase of the poem under observation. A search for and discovery of formal and semantic structures in poems seem to be the raison d'être of Hill's approach to stylistic analysis. When one puts all the premium of analysis on the single basket of structure a valid question that is likely to be raised is: What is the structural paraphrase, formal and semantic, of the poem supposed to reveal about the poem? Such an analysis is helpful where the formal and logical unity of the poem is, as in the case of Browning's Pippa's Song, in doubt or questioned. But in instances where the debate is over the details of texture, about multiple meanings of linguistic minutiae, as in Hopkins's The Windhover, it is quite likely that one has to choose from variant readings all of which are almost equally complete, consistent, and simple.

6.2. The Poem as an Axis of Structures

6.2.1 Between Hill's early experiments and later American Structural overtures to stylistic analysis there is a long gap. A breakthrough in structural stylistics comes with Jakobson and his statement at the Indiana Conference on Style in Language.[1] Jakobson is one of the

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1 The papers presented at the Indiana Conference of Spring 1958 were later compiled and edited by Thomas A. Sebeok and published as Style in Language (Mass.: The MIT Press, 1960).

few outstanding contemporary linguists who have written with insight and explicit persuasiveness on literature. From his early days as a member of the Linguistic Circle of Moscow and then after the Bolshevik Revolution as an emigre founding member of the Linguistic Circle of Prague, Jakobson's writings[1] on literature and poetics are wide-ranging and substantial. Remarkably few of his writings, however, are studies of the literature of the Anglo-Saxon world. Since he has been one of the primary sources of both seminal ideas as well as of methods of structural stylistics he deserves a central place in any discussion of models of stylistic analysis within the structural framework. Jakobson, unlike Hill, approaches poetic texts not in terms of a hierarchy of levels--from micro- to meta-linguistic statement; he approaches poetic texts through a non-hierarchical and spatial conception of the elements of communication situation. In his approach each element in the communication situation (six in all) is the focus of one of the six functions of language.

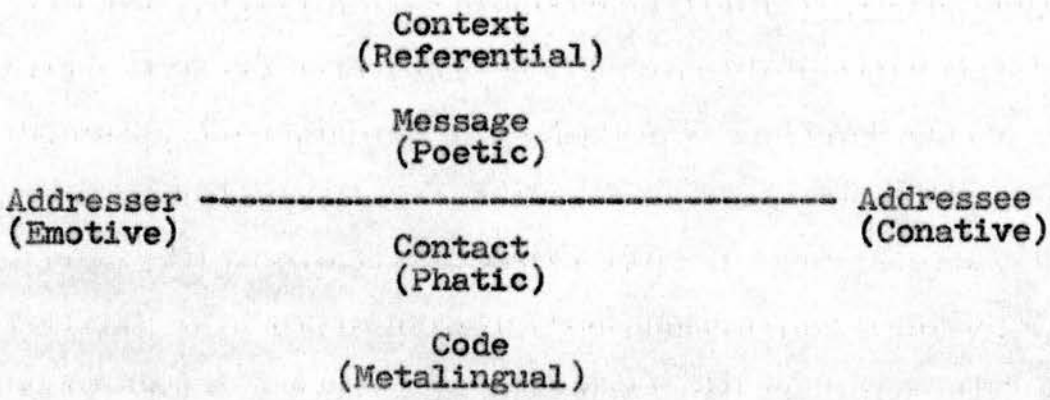
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1 Some representative analyses by Jakobson are:
"The Grammatical Structure of a Sonnet from Sir Philip Sidney's Arcadia," in Studies in Language and Literature in Honour of M. Schlauch (Warsaw: 1966), pp. 165-174.

"On the Verbal Art of William Blake and other Poet-Painters," Linguistic Inquiry I, No. 1 (1970), pp. 3.23.

in Collaboration with Lawrence G. Jones, Shakespeare's Verbal Art in Th' Expence of Spirit (The Hague: Mouton, 1970).

Figure 1



In this scheme Jakobson ascribes one function to each of the six elements, which in essence derives from the traditional triadic model of language functions developed by Karl Bühler. In this "functional" approach to language Jakobson defines the poetic function as

> The set (Einstellung) toward the MESSAGE as such, focus on the message for its own sake, is the POETIC function of language.[1]

In order to isolate "the empirical linguistic criterion of the poetic function" or "the indispensable feature inherent in any piece of poetry" Jakobson says that we must recall the two basic modes of arrangement used in verbal behaviour, selection and combination:

> The selection is produced on the base of equivalence, similarity and dissimilarity, synonymity and antonymity, while the combination, the buildup of the sequence, is based on contiguity. The poetic function projects the principle of equivalence from the axis of selection into the axis of combination. Equivalence is promoted to the constitutive device of the sequence.[2]

The promotion of equivalence to the constitutive device of

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1 Roman Jakobson, "Linguistics and Poetics," in Style in Language, ed. Thomas A. Sebeok (Massachusetts: The MIT Press, 1960), p. 356.

2 Jakobson, "Linguistics and Poetics," p. 358.

the sequence makes parallelism the basic structure underlying poetry. This structure is basic but not the only one. In this connection Jakobson writes:

> ... ... the linguistic study of the poetic function must overstep the limits of poetry, and, on the other hand, the linguistic scrutiny of poetry cannot limit itself to the poetic function.[1]
>
> ... ... Poetics in the wider sense of the word deals with the poetic function not only in poetry, where this function is superimposed upon the other functions of language, but also outside of poetry, when some other function is superimposed upon the poetic function.[2]

Jakobson's view of poetic function and poetic structure is not only non-hierarchic but also non-exclusive. Although he isolates a function or a feature as "the empirical linguistic criterion of the poetic function," he finds it in non-poetic works as well as in the poetic ones. What is of specific interest to structural stylistics in Jakobson can be discussed under three separate points: 1. the empirical-linguistic criterion of the poetic function; 2. the linguistic scrutiny of poetry (i.e., stylistic analysis) and its relation with the poetic function, and 3. the poetic function as superposed on other functions. Jakobson formulates the promotion of equivalence to the constitutive device of the sequence as the poetic function, as the empirical linguistic criterion of the poetic function, but he does not limit this to poetry. Secondly, he finds that this function is superposed on <u>other</u> language functions so that "the linguistic scrutiny of poetry cannot limit itself to the poetic function." Thus Jakobson's framework,

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1 Jakobson, "Linguistics and Poetics," p. 358.
2 <u>Ibid</u>., p. 359.

i.e., the functional model of language, gives structural stylistics twofold insight 1) the language function on which the text is primarily focussed, though not entirely so, and 2) the empirical-linguistic criterion of the poetic function where this happens to be the superposed focus. Jakobson's "Linguistic and Poetics," in so far as the paper can be taken as a statement of one of several structuralist positions on the language of poetry, provides us with an explicit account on the language of poetry.

6.2.2 Jakobson and Levi-Strauss have published a structural analysis of Baudelaire's sonnet Les Chats.[1] The analysis can be taken for discussion as an example par excellence of structural stylistic analysis. The analysis profesees to reveal "what a Baudelaire sonnet is made of." In a prefatory note to the paper Levi-Strauss makes a very important statement for understanding their approach to stylistic analysis:

> ... ... each work of poetry, considered in isolation, contains within itself its own variables ranged on an axis which can be described as vertical, since it consists of superimposed levels: phonology, phonetics, prosody, semantics, etc.[2]

In the preceding section we have already seen how Jakobson isolates parallelism as the basic relationship underlying poetry. Since language, as Levi-Strauss says, is a system made up of several levels superimposed one on the top of the

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1 Roman Jakobson and Claude Levi-Strauss, "Charles Baudelaire's Les Chats," L'Homme 2 (1962); translated from French by Katie Furness-Lane; in Structuralism: A Reader, ed. Michael Lane, (London: Cape, 1970), pp. 202-221.

2 Claude Levi-Strauss, Introductory Note to Jakobson and Levi-Strauss, "Charles Baudelaire's Les Chats," p. 202.

Les Chats

Les amoureux fervents et les savants austères
Aiment également, dans leur mûre saison,
Les chats puissants et doux, orgueil de la maison,
Qui comme eux sont frileux et comme eux sédentaires.

Amis de la science et de la volupté,
Ils cherchent le silence et l'horreur des ténèbres;
L'Érèbe les eût pris pour ses coursiers funèbres,
S'ils pouvaient au servage incliner leur fierté.

Ils prennent en songeant les nobles attitudes
Des grands sphinx allongés au fond des solitudes,
Qui semblent s'endormir dans un rêve sans fin;

Leurs reins féconds sont pleins d'étincelles magiques,
Et des parcelles d'or, ainsi qu'un sable fin,
Étoilent vagument leurs prunelles mystiques.

Charles Baudelaire

other (phonetic, phonological, syntactical, semantic, etc.), parallelism manifests itself on any level. A poem is seen as a verbal sequence wherein the same relations between constituents are repeated at various levels so that intra-textual equivalences occur at the phonological and semantic as well as on the syntactic levels. Jakobson and Levi-Strauss's study of Baudelaire's sonnet is a close and thorough scrutiny of the grammatical, metrical and semantic structures of the poem. The study can be considered in two parts: 1. Analysis, and 2. Interpretation. In their analysis of the sonnet Jakobson and Levi-Strauss discover the following four mutually complementary structures in the sonnet--listed here in order of their prominence in the poem:

a: A tripartite division into: Quatrain I, which represents the cats as passive creatures, observed by the outsiders, lovers and scholars; Quatrain II, where the cats are active but, again, seen as such from the outside, by the powers of darkness; the latter, also seen from outside, are active; they have designs on the cats and are frustrated by the independence of the little beasts; Sestet, which gives us an inside view of the cat life-style: their attitude may be passive, but they assume that attitude actively. Thus is the active-passive opposition reconciled, or perhaps nullified, and the circle of the sonnet closes. This tripartite structure is defined by two features--one grammatical (formed by three complex "sentences" delimited by periods, and further defined by an arithmetic progression in the number of their independent

clauses and personal verb forms; one metrical (the rhyme systems unify the tercets into a sestet while separating it from the quatrains).

b: A bipartite division that opposes the octet and the sestet. In the octet the cats are seen from an outside observer's point of view and are imprisoned within time and space. In the sestet both viewpoint and space-time limits drop away.

c: A chiasma-like division linking quatrain I and tercet II, where the cats function as objects and, on the other hand, quatrain II and tercet I, where they are subjects.

d: A tripartite division: two equal sestets (lines 1-6 and 9-14) separated by a distich (lines 7 and 8). Jakobson and Levi-Strauss regard this distich as a transition. The first sestet describes objectively a factual situation of the real world; the second sestet is devoted to the deepening mystery of the cats. It marks the stages of a progression from the real order (the first sestet) to the surreal (the second sestet).

A greater part of Jakobson and Levi-Strauss's analysis of the Baudelaire sonnet is devoted to the analysis of grammar and metrics of the poem--i.e., assigning different elements of the text to different grammatical categories and functions or to different traditional metrical and rhyme schemes. The analysts do this part of their work with complete thoroughness, and in the process they establish all recognizable intra-textual equivalences and correspondences that can be established at the level of grammar, metrics and semantics. The four structures or patterns, outlined above, are only the

major ones that emerge in the course of the analysts' attempt to show the importance of "the role of grammar in addition to the rhyme-scheme in the structure of this sonnet." In order to illustrate Jakobson and Levi-Strauss's approach to stylistic analysis two quotations will be given below--one for the analysis of the grammar and the other for the analysis of the metrics:

1. There is a clearly visible systactical parallel between the pair of quatrains on the one hand and the pair of tercets on the other. Both the first quatrain and the first tercet consist of two clauses, of which the second is relative, and introduced in both clauses by the same pronoun, qui. This clause comprises the last line of its verse and is dependent on a masculine plural substantive, acting as complement in the main clause (Les Chats$_3$, Des Sphinx$_{10}$,). The second quatrain (and similarly the second tercet) contains two co-ordinate clauses, of which the second, compound in its turn, comprises the last two lines of the verse (7-8 and 13-14) and is composed of a subordinate clause linked to the main clause by a conjunction. In the quatrain that clause is conditional (S' ils pouvaient$_8$,) and in the tercet it is comparative (ainsi qu'un$_{13}$). The first is consecutive, whereas the second is incomplete and parenthetical.[1]

2. In the two quatrains, the masculine rhymes are constituted by substantives and the feminine rhymes by adjectives, with the exception of the key-word ténèbres which rhymes with funèbres ... ... As far as the tercets are concerned, the three lines of the first tercet all end with a substantive and those of the second with an adjective. Thus the rhyme which links the two tercets--the only instance in this poem of a homonymous rhyme (sans fin$_{11}$ -- sable fin$_{13}$)--places a masculine adjective in opposition to a feminine substantive--and it is the only adjective, and the only example of the masculine gender, amongst the masculine rhymes in the sonnet.[2]

6.2.3 It is in the interpretation and the use the analysts make of their structural, grammatical and metrical

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1 Jakobson-Levi-Strauss, p. 206.
2 Jakobson and Levi-Strauss, p. 205.

description, rather than in the thoroughness of the description as such, that some of our interests lie. There is no room for debate on the completeness of the description and analysis: Jakobson and Levi-Strauss exhaust nearly all traceable structures, parallels, correspondences and equivalences that could be detected intratextually. They leave nothing resembling a pattern or structure unmentioned in their analysis. The 14-line sonnet with 112 words is taken to pieces to show all possible intra-textual relations that are holding them together in terms of grammar, metrics and semantics. In fact, the number and variety of intra-textual relations brought out by the analysis are so many that it becomes disconcertingly difficult to detect a central line of argument in Jakobson-Levi-Strauss analysis. In the midst of all these rich abundance of structural, grammatical and metrical correspondences, the reader becomes naturally conscious of the question: What is it about the poem that Jakobson-Levi-Strauss are attempting to bring home to their readers? The analysis gives an unwary reader the impression that anything and everything that can be said about the poem and its observable internal textual relationships is of intrinsic significance. All observable relationships in the text are equally important, and therefore they must be mentioned. For instance, Jakobson and Levi-Strauss write:

> There are several striking relations in the grammatical structure both of the beginning and of the end of the sonnet. At the end, as at the beginning, but nowhere else, there are two subjects with only one predicate and only one direct object. Each of these subjects and objects is governed by a determinant, and the two

> predicates, the first and the last in the sonnet, are the only ones accompanied by adverbs, both of them derived from adjectives and linked to one another by an assonant rhyme: Aiment$_2$ également -- Étoilent vaguement$_{14}$. The second and penultimate predicates are the only ones with a copula and an attributive predicate, the latter being emphasized in both cases by an internal rhyme: Qui comme eux sont frileux;$_4$ Leurs reins feconds sont pleins$_{12}$. Generally speaking, only the two outside verses are rich in adjectives; nine in the quatrain and five in the tercet; while the inside verses have only three adjectives in all (funèbres, nobles, grands).[1]

There are numerous other commentaries of analytical nature which, like the one above, are of interest perhaps to the linguist qua linguist. These patterns that Jakobson and Levi-Strauss discover in Baudelaire's sonnet are bewilderingly real: they are there in the text. But even the most determined of the literary interpreters will find it a hard task to make use of all the patterns, correspondences, equivalences and parallels in sound, structure, grammar and rhyme that Jakobson and Levi-Strauss have traced in the poem. Jakobson and Levi-Strauss themselves have made only a partial use of much of their discoveries in the poem in their brief interpretation of it. They discover that

> each of the four verses retains its own individuality: the animate genre, which is common to both subject and object in the first quatrain is peculiar to the subject only in the first tercet; in the second quatrain this genre characterizes either subject or object; and in the second tercet neither one nor the other.[2]

Nowhere in their interpretation of the poem do Jakobson and Levi-Strauss make any noticeable use of this piece of analytical information. A likely criticism of their approach

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1 Jakobson and Levi-Strauss, p. 207.
2 Ibid.

to structural analysis of poetic texts is that they lump together the linguistic data in an effort to trace as many structures, parallels and equivalences as are possible. One consequence of this over-intensity of preoccupation with structures is that the interpretation draws upon the data which are crucial as well as upon the data which are marginal or tenuous in nature. To give one typical example, here are the analysts' comments on the prominence of the liquid consonants in the second quatrain:

> The second quatrain is the one that reveals an excessive number of these liquid phonemes, twenty-three in all, as opposed to fifteen in the first quatrain, eleven in the first tercet and fourteen in the second. There are rather more /l/s than /r/s in the quatrains, but rather fewer in the tercets. The seventh line has only two /l/s but five /r/s, that is to say, more than any other line in the sonnet.... ... ... ; the effacement of /r/ before /l/ eloquently evokes the transition of the empirical cat to its phantastical transfigurations.[1]

While there can be no controversy about the statistics of the liquid phonemes, the interpretation appears to be a tenuous and debatable attempt to link all the linguistic details as stylistically relevant and marked ones. Jakobson and Levi-Strauss not only bring out all contrasts, parallels and equivalent structures that can be described linguistically; they assume that <u>all</u> these linguistic details are automatically relevant for interpretation of the poem. Everything that is noticeable in the poem is automatically a part of the poem's structure, or more specially, a part of the structure of its meaning, and therefore it is interpretable.

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1 Jakobson and Levi-Strauss, p. 210.

6.3. Riffaterre's Rejection of Grammar

6.3.1 Jakobson and Levi-Strauss's analysis of the Baudelaire sonnet exemplifies the structuralist approach to stylistic analysis that relies on phonology and grammar as its primary tools of analysis. In a sense it is a tour de force of structural stylistics. Their preoccupation with structures, correspondences, parallels and equivalences apart, Jakobson and Levi-Strauss do not seem to bring to bear any fresh terminology or descriptive categories of grammar, prosody, phonology and semantics on their analysis of the sonnet--certainly none that would not have been used by a traditional grammarian, prosodist or a traditional literary critic. The difference would be more of degree than of kind: the 'practical critic' of the literary kind would, for example, have commented more on the imagery than on the linguistic details and overall structures, but in his commentary the practical critic would not have used any different terminology and categories of grammar and prosody than the ones used by Jakobson and Levi-Strauss. It is the 'structural' aspect of their approach which appears to lead Jakobson and Levi-Strauss to the assumption that any structural system that they are able to trace and define in the poem is necessarily an interpretable poetic structure, i.e., a structure that functions in the poem as a literary work of art.

6.3.2 Riffaterre, too, approaches stylistic analysis of literary texts from structuralist framework, but he suspects that if structural stylistics takes grammar and phonology as primary tools of analysis,

> there may be no way for structural linguistics to distinguish between ... ... unmarked structures and those that are literarily inactive.[1]

Riffaterre is, naturally, critical of Jakobson-Levi-Struass analysis. He considers the two analysts as "blinded by irrelevant parallelisms." But at the same time, Riffaterre takes Jakobson-Levi-Strauss analysis as a test case for structuralism and its "practicability in matters of literary criticism." It will not, therefore, be out of place first to consider some of his major criticisms of the Jakobson-Levi-Strauss analysis. The following are some of Riffaterre's criticisms:

1. Equivalences established on the basis of purely syntactic similarities would seem particularly dubious. ... ... Extensive similarities at one level are no proof of correspondence (cf. Quatrain I and Tercet II) The parallelism suggested by grammar remains virtual because it has no homologue in the meter or in the semantic system.[2]

2. There is no telling which of these systems of correspondences contribute to the poetry of the text. ... ... No segmentation can be pertinent that yields, indifferently, units which are part of the poetic structure, and neutral ones that are not.[3]

3. The weak point of the method is the categories used. Two examples: 1. There is a revealing instance where Jakobson and Levi-Strauss take literally the technical meaning of feminine as used in metrics and grammar and endow the formal feminine categories with esthetic and even ethical values. 2. Another "case in point is the plural. Jakobson and Levi-Strauss rightly note its high frequency and its concurrence with important elements. Because a single grammatical category is applicable to every line of the poem, they see it as a key to the understanding of the sonnet. ... ... Better still, the authors see this mutual 'convertibility' symbolized in solitudes, where "solitude" as the word itself and "multitude" as the morpheme-s enjoy togetherness.[4]

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1 Michael Riffaterre, "Describing Poetic Structures: Two Approaches to Baudelaire's Les Chats," Yale French Studies 36/37 (1966), p. 202.
2 Ibid., pp. 207-208.
3 Ibid., p. 206.
4 Ibid., p. 209.

4. The sonnet is rebuilt by the two critics into a superpoem, inaccessible to the normal reader.[1]

Riffaterre's criticisms of Jakobson-Levi-Strauss's analysis are of crucial significance for stylistic analysis in general and "structural" stylistics in particular, because like Jakobson and Levi-Strauss, Riffaterre, too, professes theoretical allegiance to structuralism. Yet Riffaterre finds the two analysts' approach misleading because they have used "grammatical terminology" which is a "preconceived" and "a prioristic frame." "Grammar," says Riffaterre, "is the natural geometry of language which superimposes abstract, relational systems upon the concrete, lexical material: hence grammar furnished the analyst with read-made structural units."[2] In an oft-quoted statement Riffaterre declares

> No grammatical analysis of a poem can give us more than the grammar of the poem.[3]

Riffaterre's approach to stylistic analysis has a few things in common with that of Jakobson and Levi-Strauss. Riffaterre accepts the notion of structure as Jakobson and Levi-Strauss do. While the latter approach the poem as a structure to be approached on its own Riffaterre finds such an approach inadequate. He says

> the poetic phenomenon, being linguistic, is not simply the message, the poem, but the whole act of communication... ... This is a very special act, however, for the speaker--the poet--is not present;...The message and the addressee--the reader--are indeed the only factors involved in this communication whose presence is necessary.[4]

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1 Riffaterre, Yale French Studies 36/37 (1966), p. 213.
2 Ibid., p. 213.
3 Ibid., p. 213.
4 Ibid., p. 214.

Thus the Jakobson-Levi-Strauss analysis is partial in that it is an analysis of the message as a self-contained structure without taking the whole of the act of communication into consideration. They fail to differentiate between the text features which are stylistic features and those which are stylistically neutral. To Riffaterre

> The whole idea of structure, of course, is that within the body of the text all parts are bound together and that stylistically neutral components and active ones are interrelated in the same way as the marked and unmarked poles of any opposition.[1]

Riffaterre rejects not only grammar as an a prioristic abstract geometry imposed upon concrete lexical material; he also rejects the notion of the poem as a message-structure which is self-contained and decipherable without assuming the presence of the reader and a communication situation. Thus the structuralist assumptions lead Riffaterre to an approach which, in many ways, is quite different from that of Jakobson-Levi-Strauss.

6.3.3 Riffaterre's approach to stylistic analysis and his interpretation of the Baudelaire sonnet differ widely from those of Jakobson-Levi-Strauss because Riffaterre's concept of the poetic structure is essentially binary while Jakobson's is not. In the preceding section we referred, briefly, to Jakobson's concept of language functions where he divides the communication situation into six foci, and each of these becomes the dominant focus in the six language functions. Jakobson considers the poetic function as the one in which the focus is the message as such. Riffaterre

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1 Riffaterre, p. 213.

objects to the whole scheme, saying

> For him, the structure of a message depends on its dominant function and on the relative importance of a blend of the other functions. But I would object that two functions only are always present--the stylistic and the referential--and that SF (stylistic function) is the only one centered on the message while the others have this in common, that they are oriented toward points exterior to it, and that they organize speech around coder, decoder and the context.[1]

This binary notion of language functions is one of the bases of Riffaterre's approach to stylistic analysis. The other is his notion of stylistics as "a linguistics of the effects of the message, of the output of the act of communication." To him stylistics studies the act of communication not as merely producing a verbal chain, but "as compelling the addressee's attention." Riffaterre considers the task of stylistics to be studying language "from the decoder's viewpoint." He begins by defining "style"

> as an emphasis (expressive, affective or aesthetic) added to the information conveyed by the linguistic structure, without alteration of meaning. Which is to say that language expresses and that style stresses.[2]

Riffaterre's first postulate for stylistic analysis, then, is that elements which strike the reader as unusual or highly unpredictable in the context in which they appear will count as stylistic features of the text. Following on this, stylistic analysis must determine the nature of the contrast between the unexpected item and its context. Making this point Riffaterre writes:

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1 Riffaterre, "The Stylistic Function," in Preprints of the Proceedings of the IX International Congress of Linguists (Cambridge, Mass.; 1962), p. 202.

2 Riffaterre, "Criteria for Style Analysis," in Essays on the Language of Literature ed. Seymour Chatman & Samuel R. Levin (New York: 1967), p. 413.

> In a verbal chain, the stimulus of the style effect consists of low-predictability elements encoded in one or more immediate constituents; the other constituents, the pattern of which makes the contrast possible, form the context. ... ... Each stylistic device functions as a context for another device following immediately.[1]

It is in terms of the bipolarity of stylistic contrast that Riffaterre approaches poetic structures. To him "the stylistic contrast, like other useful oppositions in language, creates a structure."[2] The notion of structure proves fruitful to him because, instead of asserting the intrinsic stylistic value of individual items, it makes one look for contrast which one can state in terms of binary oppositions that make a given item striking in its context. Thus stylistic devices create structures by a complex of oppositions--opposition between the stylistic device and the neutral context.

6.3.4 As a study of an aspect of communication situation (i.e., the effects of the message), stylistics, according to Riffaterre, studies the poetic structures from the decoder's viewpoint. This theoretical position leads Riffaterre to postulate that the features which cannot and do not escape the attention of the "average reader" are stylistic features of the text. In his desire to stress the process of communication, Riffaterre postulates, particularly in his early formulations, the concept of "the Average Reader." Defining the concept Riffaterre writes

> The group of informants used for each stimulus or for a whole stylistic sequence will be called Average Reader.[3]

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1 Riffaterre, "The Stylistic Function," in Preprints, pp.210-211.
2 Riffaterre, "Criteria for Style Analysis," p. 427.
3 Ibid., p. 422.

In formulating the concept of the Average Reader, Riffaterre's motive seems to be one of erecting a filtering system. For instance, he writes

> Our problem is to transform a fundamentally subjective reaction to style into an objective analytic tool, to find the constant (encoded potentialities) beneath the variety of judgements, in short to transform value judgements into judgement of existence. The way to do it is, I believe, simply to disregard totally the content of the value judgement and to treat the judgement as a signal only.[1]

The experimental conditions under which one could objectively and efficiently collect 'reactions' and distinguish between reactions to style and reactions to "information transmitted by the linguistic structure" without considering the 'subjective content' of the reactions, are not easy to imagine. In the later writings of Riffaterre the Average Reader has been replaced by an "archilecteur" who, as the term suggests, is an ideal reader in whom all the idiosyncrasies of individual readers are neutralized. The function of the archilecteur is to ensure the operation of what Riffaterre calls "the law of perceptibility." The law of perceptibility is a way of ruling out analyses like those of Jakobson which Riffaterre regards as far-fetched in that they utilize components which are ordinarily inaccessible to the reader. Riffaterre finds the Jakobson-Levi-Strauss analysis misleading because their analysis scans everything "with even hand." As against such an indiscriminate method Riffaterre postulates the concept of "the super reader" which, Riffaterre says, "has the advantage of screening pertinent

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1 Riffaterre, "Criteria for Style Analysis," p. 419.

structures and only pertinent structures." As far as the applicational procedure is concerned the following resume of Riffaterre's method can be given (the sentence numberings are supplied; they are not part of the quotation):

1. Each point of the text that holds up the super reader is tentatively considered a component of the poetic structure.
2. These units consist of lexical elements of the sentence interrelated by their contrasting characteristics.
3. They also appear to be linked to one another by relations of opposition.
4. The contrast they create is what forces them upon the reader's attention; these contrasts result from their unpredictability within the context.
5. This unpredictability is made possible by the fact that at every point in a sentence, the grammatical restrictions limiting the choice of the next word permit a certain degree of predictability.
6. Units of this kind and the systems they constitute form the basis of the following analysis.[1]

Riffaterre calls this "an almost pedestrian process of analysis," emphasizing the contrast with the "philosophical fireworks" of Jakobson and Levi-Strauss. Riffaterre, as is obvious from the above resume, approaches poetry with the assumptions that not every structure in a poem is a poetic structure and that poetic structures are traceable, neither through grammar nor through phonology. Poetic structures are made of lexical elements linked by relations of opposition and modification. Thus, Riffaterre's structuralism is based on "lexical meaning." Using this method Riffaterre interprets Baudelaire's Les Chats and its sonnet-

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1 Riffaterre, Yale French Studies, pp. 215-216.

structure

> as a sequence of synonymous images, all of them variations on the symbolism of the cat as representative of the contemplative life. The Spinx simile duplicates the equivalence by making the cat a symbol of this symbol of mystic contemplation.[1]

Riffaterre claims that his interpretation has "the advantage over the exegesis of Jakobson and Levi-Strauss in that it explains the transfiguration of the cats." Relying on grammar, phonology and prosody Jakobson and Levi-Strauss interpret the sonnet, and on the basis of their reading of the structural parallelisms in the sonnet they, on their part, conclude that

> for Baudelaire the image of the cat is closely linked to that of the woman. ... ... This motive of oscillation between male and female in Les Chats becomes evident in the intentional ambiguities. ... ... All being in the sonnet are masculine but the cats and their alter ego, les grands sphinx, are of an androgynous nature. This very ambiguity is emphasized throughout the sonnet by the paradoxical choice of feminine substantives for so-called masculine rhymes. Through the mediation of the cats, woman is eliminated from the poet's initial galaxy of amoureux and savants, leaving face to face, if not totally enmeshed, 'le poet des chats' freed from love 'bien restreint' and the universe, unfettered by the savants' austerity.[2]

The interpretations of Baudelaire's Les Chats by Jakobson-Levi-Strauss on the one hand and Riffaterre, on the other, show that the linguists who share a common theoretical assumption do, at times, end up with very different readings of the same literary text. 'Structuralism,' means different things to Riffaterre and Jakobson. To Jakobson and Levi-Strauss 'structure' means something which is intrinsically important, and the poem is a macro-structure of a large number of such micro-structures piled up one on the other

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1 Riffaterre, Yale French Studies, p. 234.
2 Jakobson and Levi-Strauss, "Charles Baudelaire's Les Chats," pp. 220-221.

as on an axis. The fact that certain features of sound, meter or rhyme or grammar are interrelated either in terms of equivalence and correspondence or in terms of opposition are enough for Jakobson-Levi-Strauss to make them 'structures.' Every micro-structure that goes into the making of the macro-structure of the poetic message is assumed to be of importance by Jakobson-Levi-Strauss. Riffaterre, on the other hand, establishes the notion of "the Average Reader" as a screening device for testing the stylistically marked structures from the ones which are stylistically neutral. Thus, structure in itself does not mean much to his approach. Riffaterre scrutinizes the poem primarily as a structure of lexical meanings--each stylistically "marked" lexical structure or unit considered in relation to other unmarked lexical units in terms of contrast, modification or opposition. If Riffaterre owes anything to structuralism it is to the Prague notions of the marked and the unmarked poles of a structure, to the notion of structure as opposition, to the notion of structure as a relation of units where the units are modified by one another. But, at the same time, Riffaterre seems to reject one of the basic assumptions of structural analysis, i.e., the meaning of the linguistic forms as linguistic forms independent of their lexical meaning.

6.4. Couplings: Levin's Approach to Linguistic Structures in Poetry

6.4.1 Riffaterre's analysis of Baudelaire's Les Chats is one response to Jakobson-Levi-Strauss's analysis of the sonnet: a response to Jakobson's practice. Levin's

Linguistic Structures in Poetry[1] is another response to Jakobson's analysis of the poetic function: a response to Jakobson's theory. While Riffaterre, as we saw earlier, explored the poetic structures through the structure of lexical meanings, Levin may be said to have elaborated Jakobson's notion of poetic structures by exploring them through the structure of formal as well as semantic features. In his book, Linguistic Structures in Poetry, Levin examines poetry "from the point of view of structural linguistics." He writes about certain structures which are peculiar to the language of poetry. According to him, two features which distinguish poetry as a form of discourse are

1. Poetry is marked by a special kind of unity.
2. Poetry tends to remain in one's mind.[2]

Levin's study attempts to provide some explanation for both. He follows the basic framework laid down by Jakobson in his paper "Linguistics and Poetics." As we saw earlier, to Jakobson "the poetic function projects the principle of equivalence from the axis of selection into the axis of combination." Taking his cue from Jakobson, Levin says, "Poetry consists of language, yet produces effects that ordinary language does not produce. ... ... Poetry is language differently ordered or arranged."[3] Levin elaborates on certain structures which are peculiar to the language of poetry and which function to unify the texts. Levin calls these structures "couplings." First, Levin defines two

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1 Samuel R. Levin, Linguistic Structures in Poetry (The Hague: Mouton, 1962).
2 Ibid., pp. 9-10.
3 Ibid., p.22.

types of equivalence classes operating in poetic texts. Morphemes, words or groups "are assigned to the same class because they may all occupy the same position in relation to other forms; that is, they are equivalent in respect to the positions they may occupy in utterances. We shall call paradigms constituted in this way TYPE I or POSITION CLASSES."[1] A position in Levin's sense are "those places in linguistic chain where alternation is possible."[2] The defining features of membership in TYPE I or POSITIONAL EQUIVALENCE are external or environmental. The defining features of membership in TYPE II or NATURAL EQUIVALENCE are also external but not environmental. The external features defining Type II or NATURAL EQUIVALENCE are "extralinguistic." There are two sub-classes of Type II Natural Equivalence classes: a) Classes involving 'meaning', and b) Classes involving 'sound.' The sub-class involving 'meaning' is defined in the following terms by Levin: "two forms are semantically equivalent insofar as they overlap in cutting up the general 'thought-mass'--which lies outside individual languages." The sub-class involving 'sound' is defined in the following terms: "forms are classed together insofar as they overlap in cutting up the phonetico-physiological continuum." Coupling, according to Levin, is the structure that is important for poetry. This takes place when "a poem puts into combination, on the syntagmatic axis, elements which, on the basis of their natural equivalences,

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1 Levin, Linguistic Structures in Poetry, p. 23.
2 Ibid., p. 30.

constitute equivalence classes or paradigms."[1] Levin writes

> Any two forms occurring in equivalent positions represent a pairing of convergences; only if the forms are naturally equivalent, however, do we have COUPLING.[2]

In other words, coupling is convergence of Type I Positional equivalence class with Type II Natural equivalence class. The following diagram represents Levin's notion of coupling as "the structure wherein naturally equivalent forms occur in equivalent positions";[3]

Paradigmatic Plane

Type I: Positional Equivalence Classes	Type II: Natural Equivalence Classes
External Defining Feature: Linguistic Environment, or Position in Linguistic Chain	External Defining Feature: Extralinguistic a) Meaning: Thought-mass b) Sound: Phonetico-physiological continuum

Syntagmatic Plane

Type I: Positional Equivalence Classes
Type II: Natural Equivalence Classes
→ COUPLING

6.4.2 In order to reveal the role that couplings play in the total organization of a poem Levin takes up a structural analysis of Shakespeare's Sonnet XXX: When to the sessions of sweet silent thought, etc. Levin's analysis is, however, not a straightforward analysis "from the point of view of structural linguistics." Levin imports into his analysis the idea of transformation from Chomskyan grammar, and it is with the aid of transformations that a number of structures are "normalized" in order to establish equivalences and trace couplings in the sonnet. In this sense, Levin's

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1 Levin, Linguistic Structures in Poetry, p. 33.
2 Ibid., p. 33.
3 Ibid., p. 52.

Sonnet XXX

When to the sessions of sweet silent thought
I summon up remembrance of things past,
I sight the lack of many a thing I sought,
And with old woes new wail my dear time's waste.
Then can I drown an eye, unused to flow,
For precious friends hid in death's dateless night,
And weep afresh love's long since cancelled woe,
And moan the expense of many a vanished sight.
Then can I grieve at grievances foregone,
And heavily from woe to woe tell o'er
The sad account of forebemoaned moan,
Which I new-pay as if not paid before.
But if the while I think on thee, dear friend,
All losses are restored and sorrows end.

William Shakespeare

structural analysis is much less theoretically 'pure' than Riffaterre's although both appeal to lexical meaning and to extralinguistic features in their analyses. While the Type I or Positional Equivalence classes can be established on distributional criteria of linguistic environment and form classes, one sub-class of Type II or Natural Equivalence is a semantic classification in that its establishment is possible only by a constant appeal to the lexical meaning of particular linguistic forms. Insofar as 'couplings' depend upon the semantic classification or Type II Equivalence their identification is not possible on formal grounds alone. In his analysis of Sonnet XXX Levin draws our attention to the largest unifying structure in the poem.

> Constructionally, the entire sonnet consists of two conditional sentences, each one comprising a protasis and an apodosis, which we may call, respectively the condition and the conclusion. Lines 1-2 constitute the first condition, lines 3-4--extended through lines 5-12--constitute the first conclusion; line 13 constitutes the second condition, line 14 the second conclusion. ... The couplings may be described as follows: When of line 1 and if of line 13 are semantically equivalent and occur in equivalent syntagmatic positions; then, in its zero form, at the beginning of line 3 is semantically equivalent and occurs in the same position as then, again in its zero form at the beginning of line 14.[1]

There are, then, two parallel if-then syntagms. In discussing couplings in these structures Levin introduces a slight normalization or 'modification' of the sentences as they occur in the sonnet. In the normalization process the following alterations were made on the text of the sonnet:

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1 Levin, Linguistic Structures in Poetry, p. 52.

	Text	Alteration
Line 3	I sigh the lack of many a thing I sought	Then I sigh the lack of many a thing I sought
Line 4	And with old woes new wail my dear times's waste	And with old woes I new wail my dear time's waste
Line 10	And heavily from woe to woe tell o'er	And heavily tell o'er from woe to woe
Line 12	Which I new-pay as if not paid before	Account I new-pay as if not paid before
Line 14	All losses are restored and sorrows end	Then you restore all losses and you end sorrows

Thus in the normalization process Levin inserts two words (Lines 3 and 4), modifies the inversion in line 10, substitutes a Noun for a Pronoun, and finally he gives active form for two passive structures. It is only after the process of normalization of the text that Levin gives us the structural summary of the sonnet. Levin divides the sonnet into two sections: lines 1-4, lines 13-14 and lines 5-12. Thus the structures of lines 1-4 and 13-14 may be represented as follows, where NP stands for noun-phrase, VP for verb-phrase, and C for conjunction:

When-to-NP_1(the sessions)-of-NP_2(the sweet silent thought)
NP_3(I)-VP_1(summon up)-NP_4(rememberance of things past),
Then NP_5(I)-VP_2(sigh)-NP_6(the lack of many a thing I sought)
C-with-NP_7(old woes)-NP_8(I)-VP_3(new wail)-NP_9(my dear times's waste).

....

C-if-the while-NP_{10}(I)-VP_4(think)-on-NP_{11}(thee, dear friend),
Then-NP_{12}(You)-VP_5(restore)-NP_{13}(all losses)-C-NP_{14}(you)-VP_6(end)-NP_{15}(sorrows)

In the above constructions following are the couplings. The natural equivalence here is semantics based either on similarity or antinomy:

In the two *if* clauses: NP_3 NP_{10}; VP_1 VP_4; NP_4 NP_{11}

In the two *then* clauses: NP_5 NP_{12}; VP_2 VP_5; NP_6 NP_{13};

and after the conjunctions NP_8 NP_{14}; NP_3 VP_6; NP_9 NP_{15}

In establishing these couplings Levin forestalls criticism by saying,

> It ought not to be objected that in the preceding analysis the statements are based on a normalization of the poem and not on the poem itself....It is legitimate to introduce into analysis of a poem whatever we may know about a construction and its history of transformational derivation.[1]

The purpose of Levin's analysis is to demonstrate how the structure of coupling contributes to a poem's unity and permanence--the two being the unique effects of poetic language. The major function of couplings in a poem is to unify the poem and make the poem memorable. Levin argues that

> The unity and memorability of poetry are related, and find their common basis in coupling.[2]

Thus couplings are assigned a very important place in the structure of poetic texts. Levin approaches couplings not only as a cohesive factor in poetic language but also as something unique to poetic texts. While this, indeed, is true it can be shown that non-poetic texts too contain structures which are couplings. In fact, insofar as the poetic function, in Jakobson's sense of the term, is shared by non-poetic texts 'couplings' can occur in any species of

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1 Levin, *Linguistic Structures in Poetry*, p. 54.
2 *Ibid.*, p. 58.

texts where "some other function is superimposed upon the poetic function," in charms, spells and prayers, for instance.

6.4.3 One interesting feature of Levin's analysis of Sonnet XXX is its proximity to several other approaches to textual analysis--Halliday's notion of 'cohesion' and Zellig S. Harris's 'Discourse Analysis,' to name only two of such approaches. Halliday does, in fact, mention "cohesion by structural parallelism" while discussing cohesion briefly in his paper "Descriptive Linguistics in Literary Studies."[1] But in Halliday as well as in Hasan's Grammatical Cohesion in Spoken and Written English (London, 1968)[2] the notion of cohesion by structural parallelism remains an undeveloped seminal idea. Halliday divides cohesion into two types: Grammatical and Lexical. Under grammatical cohesion come such structural relations as dependence or co-ordination, such non-structural relations and references as anaphora and substitution. Under lexical cohesion comes either repetition of an item or occurrence of items from the same lexical set. Thus Halliday's notion of cohesion is essentially one of 'a syntagmatic relation.' It is only when he takes up lexical cohesion that the paradigmatic relation of lexical set becomes important. Halliday's approach to textual cohesion has, in other words, more to

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1 M.A.K. Halliday, "Descriptive Linguistics in Literary Studies," in Patterns in Language (London: Longmans, 1966), p. 64.

2 Ruquia Hasan, Grammatical Cohesion in Spoken and Written English (London: Longmans, 1968).

do with intra-textual relations than with intra-textual equivalences. In Levin's approach to coupling intra-textual correspondences are the focus of analysis: the units must be not only positionally equivalent; they must be naturally equivalent either in meaning and/or in sound to make a coupling. But 'cohesion,' like 'coupling,' is a notion through which the special formal properties of a text may be recognized. In analyzing 'cohesion' one looks for intra-textual relations such as dependence, co-ordination, reference, anaphora and substitution; in analyzing 'coupling' one looks for equivalent positions and natural equivalences occupying them, i.e., structural parallels reinforced by semantic or phonological parallelisms. In this sense, Levin's notion of 'coupling' has a great deal more in common with Zellig Harris's 'discourse analysis' than with Halliday's cohesion. Levin deals with parallel sentences of identical grammatical structure and with repeated equivalent positions in these sentences. He makes use of transformations in order to 'normalize' the text. In discourse analysis, the basic operation, the forming of classes of equivalent morpheme sequences, requires that

> a and b occur in corresponding grammatical positions within their respective sentences, or within the transforms of their respective sentences... By means of grammatical transformations, a text is reduced to a sequence of maximally similar sentence structures called periods.[1]

Although Levin does use transformations, transformational analysis is not required, except incidentally, in order to

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1 Zellig S. Harris, Discourse Analysis Reprints (The Hague: Mouton, 1963), p. 8, p. 42.

achieve repeated equivalent positions in sentences occurring in texts like Sonnet XXX. In his analysis of scientific prose, for instance, Harris makes much more extensive use of transformations in the normalization of his texts. Where Harris and Levin differ is in the way syntagmatic parallelisms are set up. Harris defines his method in the following terms:

> (Discourse analysis) presents a method for the analysis of connected speech (or writing). The method is formal, depending only on the occurrence of morphemes as distinguishable elements; it does not depend upon the analyst's knowledge of the particular meaning of each morpheme.[1]

Levin appeals to the knowledge of the lexical meaning of the equivalence classes as a <u>criterion</u> for establishing a sub-class of natural equivalence. This introduces a degree of subjectivity into the analysis in as much as the natural equivalence depends upon such semantic relationships as synonymy and antonymy (i.e., in cutting up the general "thought-mass"). Levin's Type I Equivalence classes are set up on the basis of mutual substitutability in a fixed linguistic environment by the so-called substitution-in-frames techniques. But his Type II Equivalence classes are set up by appealing to extra-linguistic features. This is where Levin's approach diverges from Harris's. Harris uses lexical meaning <u>only</u> if there are gaps in the formal structure of the texts so that equivalence cannot be set up on the basis of the formal

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1 Zellig S. Harris, "Discourse Analysis," in <u>The Structure of Language: Readings in the Philosophy of Language</u>, eds., Jerry A. Fodor and Jerrold J. Katz (New Jersey; Prentice-Hall, Inc., 1964), p. 355.

data alone.

6.4.4 From the standpoint of literary interpretation Levin's analysis of Sonnet XXX is not easy to assess. Reviewing Levin's Linguistic Structures in Poetry Hendricks writes:

> The information, particularly of a literary nature, that a structural representation in terms of subsentence equivalence classes yields is typically modest in scope.[1]

In his analysis of the sonnet Levin makes a promising statement when he writes:

> Falling under metrical stresses is a whole class of semantically equivalent words that have to do with a court or legal bar. Beginning with sessions in line 1, we come successively upon summon, cancelled, expense, grievances, and account--all technical terms associated with action at law. These words thus constitute a series of couplings.[2]

The words that Levin singles out are significant for exegesis and they are "semantically equivalent," but they have been grouped together as belonging to Type I Equivalence class, not because of their mutual substitutability in a fixed linguistic environment, but because they carry metrical stress. Of the six words summon is a verb; cancelled is a past-participle functioning as a modifier; while sessions and others are nouns. So Levin's claim that "these words thus constitute a series of couplings" is based on tenuous evidence at best. Similarly, to consider one or two more examples of Levin's discoveries of structural parallelisms at subsentence level. He

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1 William O. Hendricks, Review of Levin's Linguistic Structures in Poetry, Language 42, 3 (1966), p. 647.
2 Levin, Linguistic Structures in Poetry, p. 57.

finds the phrase sweet silent thought in line 1 structurally similar, not only to the phrase death's dateless night in line 6, but also to love's long since cancelled woe in line 7. The alliteration of consonants and the prospect of an Immediate Constituent Analysis with the help of metrical stress appear to have misled Levin to propose the following type of equivalence:

Line 1: sweet / silent thought /
Line 6: death's / dateless night /
Line 7: love's / long since cancelled woe /

But Levin seems to ignore their semantic dissimilarities as well as their structural peculiarities; sweet silent thought is no more similar to death's dateless night (which can give dateless night of death) than to love's long since cancelled woe (which is a nominalization of the woe of love which has been cancelled long since). Similarly, Levin's transformation of line 14:

All losses are restored and sorrows end

into

You restore all losses and you end sorrows

is debatable, because the context of the sonnet as a whole and of the final couplet, of which the line is a part, seems to demand a different subject. The couplet reads:

But if the while I think on thee, dear friend,
All losses are restored and sorrows end.

Levin reads the line 14 as passive transformations of

You restore all losses and you end sorrows

with the logical subject deleted. But the context seems to demand a different reading. The logical subject recoverable from the context is not you, but the present thought of you

(cf. But if the while I think on thee, dear friend).
In his search for correspondences and equivalences Levin seems to deal with the Shakespeare sonnet, not as an interrelated set of structures, but as a set of correspondent and equivalent ones. Even after having laid all the couplings in the sonnet sufficiently bare the essential point remains: the most significant words or features in the poem do not necessarily occur in equivalent syntactic positions even when the sentences are 'normalized' by means of grammatical transformations. Levin's focus is on recurrences within the text of the sonnet, but the unity of the text cannot be established by recurrent classes and structures alone. There are other syntagmatic relations such as anaphora, reference, substitution, co-ordination and clause sub-ordination; or qualification and modification at the group level--all of which help to hold the text together. But Levin dismisses a concern for these relations by saying:

> No particular care need be given to the arrangement of the individual units beyond that necessary to insure a certain degree of grammaticalness.[1]

Consequently, Levin's approach to poetic texts becomes an elaborate version of "substitution-in-frames" analysis--so typical of American structuralism. His concern for exact parallelism, at times, results in misleading segmentation of the structure of the poem. The sonnet, no doubt, consists of two conditional sentences, but not, as Levin suggests, each sentence comprising a protasis (the condition)

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1 Levin, Linguistic Structures in Poetry, p. 56.

and an apodosis (the conclusion). The first conditional sentence has, not one, but three conclusions (lines 3-4, 5-8, and 9-12), while the second conditional sentence has one condition and one conclusion. All this is not, however, to deny Levin the credit for some insightful discoveries on the structure of the sonnet. For instance, Levin's statement in the following passage is one of the most convincing 'structural' statements in the whole monograph, and it is one of direct consequence for understanding and interpretation of the sonnet:

> In the first amplifying then clause (beginning with line 3), we find the following verbs, all semantically equivalent monosyllables, predicated of the subject I: sigh, wail, drown, weep, moan, and grieve. Inasmuch as these verbs are all predicated of the same subject, they occur in equivalent syntagmatic positions, in a comparable construction, and thus constitute a series of couplings. The fact that they all occur under the metrical stress renders them couplings on the conventional axis also. As objects of sigh, wail and moan, we find lack, waste and expense, the latter likewise constituting a series of couplings.[1]

6.5. Conclusion

6.5.1 The interest in the language of literature is a recent phenomenon among structural linguists. The fact that literature is, by and large, the written word seems to have led them to show no interest in it. They considered it something outside the scope of their study also because in literary texts the author's aesthetic intention plays a crucial part, and this sets them apart as a class of utterances quite different from other utterances in a

1 Levin, Linguistic Structures in Poetry, p. 56.

language. The linguist found it necessary to shy away from literary material because the language of literature operates in a world of values, while

> terms like value, aesthetic purpose, etc. ... ... are not available to linguists. The statements that linguists make will include references to phonemes, stresses, morphemes, syntactical patterns, etc., and their patterned repetition and co-occurrence. It remains to be demonstrated to what extent an analysis of messages based on such features will correlate with that made in terms of value and purpose.[1]

The linguist studies the language-system, i.e., what unifies language as a system rather than what differentiates it from use to use. Thus, structural linguists came to approach literary texts, as they did in the mid-1950s, with numerous theoretical liabilities than assets. When one reads the work of someone like Hill, it is, for instance, difficult to avoid the impression that Hill's training was a liability in his analyses of the poems of Hopkins and Browning. One's first impression is that the linguist has come to analyze a wrong set of data with right methods. In his strictness in points of methods as compared with the nature of his conclusions, Hill might appear Pharisaic to literary critics. But Hill does succeed in giving the impression that structuralism in linguistics consists in overvaluing outer forms and strict observance in methods and procedures although, in the end, these might deliver trivial goods. Literary critics have reacted in the past by saying that a method of analysis is only as good as the nature of illumination it brings to the text under analysis. But the method in itself is no

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1 Sol Saporta, "The Application of Linguistics to the Study of Poetic Language," in Style in Language, ed. Thomas A. Sebeok (Cambridge, Mass.: 1960), p. 83.

substitute for the enlightenment, however theoretically pure the method may be. Hill's analyses of the poems of Hopkins and Browning are something of methodological fireworks. One obvious reason why this is so is that Hill uses the notion of 'structure' as a key to every problem: no matter whether the problem is structural or semantic, Hill seems to think that the answer lies in 'structure.' His faith in a formal procedure, i.e., focus on the observable linguistic form as a key to the unobservable non-linguistic meaning, or the procedural step of moving from the micro-structures to the macro-structures, has arguably demonstrable virtues, but as Hill uses them they do not seem to reveal anything totally inaccessible to other procedures. The way Hill uses the notion of structure as a "decision procedure" is debatable. He decides that the verb buckle in line 10 of Hopkins's The Windhover is not an imperative because the structure (i.e., 1:2:3 - 3:2:1) that Hill discovers in the sequence of six nouns in line 9 demands an ordinary verb in indicative mood. This is just an instance of how Hill adopts the notion of "structure" with even hand to several different types of problems involving variant readings. Consequently, the eagerness with which structure is shown to be the answer to all problems of verbal details makes it a questionable notion. This is all the more so in cases where, in Hill's own words,

> the complexity and difficulty do not lie in the overall structure, which is severely simple, but in the ornate and intricate details.[1] (My emphasis)

1 Hill, PMLA (1955), p. 978.

6.5.2 Hill's work is, of course, avowedly experimental. Hill goes to poems "as a sub-class of utterances," and this in itself was probably a novelty, just as the fact that as a linguist he was willing to consider literary material was no less a novelty in the mid-fifties. His aim of adopting a procedure "similar to that of linguistic analysis," i.e., working from the observable, external, and formal characteristics to the level of unobservable meaning, from the micro-structures to the macro ones etc., is not unconventional in literary analysis. But each time Hill stops with a matrix of 'macro-structure of the poem,' all that he delivers is a semantic paraphrase of the poem under observation. When the poem is not particularly an outstanding one (Browning's Pippa's Song, for instance), in providing his readers with a paraphrase, Hill appears to be labouring under the impression that such a paraphrase is in some sense an indispensable 'structural' evidence of the fundamental unity of the poem. This may be true if the coherence of the poem is questionable, but elsewhere (as in Hopkins's poem) such exercises are somewhat gratuitous in their display of the global reliability of the notion of structure. The notion of structure itself becomes all too flexible if it is used, as Hill seems to do in his structural analyses, merely as a convenient label for collecting circumstantial evidence for the interpretation one favours among variant readings. This becomes a questionable use of the notion, particularly when structure means one thing to Hill and a quite different thing, for instance, to Riffaterre, who considers the opposition of the marked and the unmarked poles as the essence of a structure.

At least part of the reason why Hill's method seems to lack a certain elegant clarity of definition is his loose use of the notion of structure.

6.5.3 The breakthrough in structural stylistics may be said to have come with Jakobson, rather than with Hill. Hill worked within a kind of vacuum--his hope to devise a procedure for analysing literary material "similar to that of linguistic analysis," had no theoretical underpinning, particularly in relation to the language of literature. He transferred George L. Trager's tripartite division of the field of linguistics to literary material somewhat mechanically without emphasizing the formal properties of the language of poetry which ordinary utterances in a language do not share. Jakobson fills in the vacuum in structural linguistic theory by an initial explicit formulation on the formal linguistic properties of the language of poetry in terms of a functional model of communication. Jakobson's major contribution to structural stylistics is the isolation of parallelism as a poetic device and the identification of the poetic function of language as the set toward the message as such--i.e., bringing the linguistic form itself to the foreground. Items which are phonologically or semantically "equivalent" are brought together in sequence; similarity is superimposed on contiguity, and equivalence becomes the constitutive device of the sequence. Jakobson shows how "the poetry of grammar" (i.e., different aspects of morphological and syntactic functions of a language) plays an equally important role in knitting together the poetic sequence and producing

semantically relevant juxtapositions. In this sense, Jakobson and Levi-Strauss's analysis of Baudelaire's Les Chats is a tour de force in demonstrating linguistic patterns in poetry. Their technique qua technique is to analyze the ways in which members of a particular morphological and syntactic classes are distributed among the stanzas of a poem and to discover symmetrical patterns of distribution which make the poem by setting the odd numbered stanza against the even, the anterior against the posterior, and the central against the peripheral. If there are three personal pronouns in each of the odd-numbered stanzas but only two in each of the even-numbered stanzas, that constitutes a distributional pattern which structures the poem. Any category may be used: and since there are no limits to potential categories Jakobson-Levi-Strauss are invariably able to find in a given poem all the varieties of symmetry and parallelism that they might desire.

6.5.4 The limitations of Jakobson-Levi-Strauss type analysis have already been discussed in connection with Riffaterre's criticisms of the method. What needs to be reiterated here is the fact that by using grammatical categories as distributional criteria for structural patterns and poetic devices one could find similar patterns in a group of prose sentences, a doggerel as well as in a Shakespearean sonnet. Hence the pertinence of such a symmetry for poetry remains debatable. By using such closed syntactic categories as singular or plural one can find similar patterns in any text whatsoever. Secondly, the distribution of grammatical or phonological symmetry need not necessarily be

a "poetic device," particularly if the former depends upon numerical symmetry. If the first stanza of a poem contains five adjectives and the second six, as opposed to one in the third and two in the fourth, that will be no less effective than if the respective numbers had been six and six as against two and two. The point is that purely numerical symmetry need not have poetic effect at all. It may be a distributional pattern of a statistical nature rather than with a poetic function. The grammar of poetry and the poetry of grammar may both be relevant, but a mere statistical symmetry of the grammatical and morphological types and categories in a poem may have no other significance than of a distributional nature. Jakobson conflates poetic device, not only with syntactic symmetry, but also with statistical ones--"with even hand." In this respect Riffaterre's criticism that Jakobson and Levi-Strauss are "blinded by irrelevant parallelisms" appears to be valid. Compared with Hill's notion of structure Jakobson's is more specific, detailed, and elaborate. While to Hill structure is merely a question of relation that holds between different parts, to Jakobson structure is a relation of symmetry, equivalence, correspondence or parallelism. To Jakobson the relation as such is not a property of poetic structure: it must be a specific type of relation, i.e., a relation of parallelism or symmetry. But the over-intensity of Jakobson and Levi-Strauss's preoccupation with poetic structure loses attraction because they seem to find it wherever they look for it, and ad absurdum they find poetic effect and structure in numerical symmetry as well as in grammatical ones.

6.5.5 Riffaterre's rejection of Jakobson's grammar-based approach is the outcome of the former's belief in structure as a concrete and contrastive relation of opposites in a context, rather than an abstract, corresponding relations of unities or opposites. He rejects grammar because grammar is "the natural geometry of language" and poetic structure is a concrete contrastive relation of opposite poles---the stylistically marked features occurring in the context of the stylistically unmarked features. In rejecting grammar Riffaterre stands almost alone among the linguistically-oriented analysts of literature. Grammar furnishes the analyst with ready-made a prioristic structural units. This leads Riffaterre not only to concentrate his analysis on the lexis but also to approach stylistics as "a linguistics of the effects of the message, of the output of the act of communication." Thus a stylistic structure is a contextual feature which can be perceived only if the message and the receiver (i.e., the reader) are both taken into consideration. In trying to approach poetic structure through a communication-situation Riffaterre is considering stylistics as a study from "the decoder's viewpoint." This, in turn, leads him to postulate the concept of the Average Reader and ultimately to what he comes to call "the law of perceptibility." At this point Riffaterre may be said to have come a long way from the view that "the stylistic contrast, like other useful oppositions in language, creates a structure." While the series of steps that Riffaterre takes from the above notion to the postulation of the ideal reader (as a filtering system to turn value-judgement into signal or judgement of

existence) may be interrelated, the nature of relationship is not always clear. On the other hand, Riffaterre's emphasis on the lexis as against the syntax is salutary. What is unique in Riffaterre is the attempt to see poetic structures as "made of lexical elements linked by relations of opposition and modification." Thus he sees structure as a relation of semantic opposition and modification rather than as one of syntactic, phonological or numerical symmetry, parallelism or correspondence between different parts of a poem. Where Riffaterre's model falters as a procedure is in his attempt to bring in the notion of the Average Reader as a device to neutralize the idiosyncracies of individual readers. While Riffaterre rejects the Jakobson-Levi-Strauss analysis as misleading <u>because</u> they scan everything "with even hand," Riffaterre's own Super-Reader has merely a hypothetical advantage of screening the relevant structures from the irrelevant ones. At least in part Riffaterre is also appealing to information theory in that his so-called law of predictability (as a measure of "markedness") is based on what he calls "the grammatical restrictions limiting the choice of the next word." Thus his notion of stylistic structure as "a structure of lexical elements" is not entirely free from the pre-conditions set by the grammar.

6.5.6 Several structural approaches to literary analysis seem to converge on the work of Levin, and in some sense his notion of "coupling" may be said to be the <u>summum bonum</u> of structural stylistics. Coupling is the structure wherein naturally equivalent forms (i.e., in terms of meaning or sound) occur in equivalent positions. The basic

theoretical framework for this approach was laid down by Jakobson. Couplings do play an important part as one of several cohesive factors in poetic structure. They do unify the poem and make it memorable. But are couplings in themselves "marked" features? In other words, are the equivalent elements in a structure and equivalent structures to be considered as stylistically marked and therefore relevant for semantic interpretation of the poem? They might provide a basis for unity and permanence of the poem as a formal structure, but this may be merely a formal property rather than its stylistic or rhetorical function. For one thing, the most important stylistic or rhetorical elements and structures in a poem may not necessarily form naturally and positionally equivalent classes. This is quite clear, for example, when Levin acknowledges

> It ought not to be objected that in the preceding analysis the statements are based on a normalization of the poem and not on the poem itself.[1]

The necessity to "normalize" a text in itself is a tacit recognition of the fact that a poem is not a set of structures that fit a neat substitution-in-frames analysis. Levin's analysis of Shakespeare's Sonnet XXX gives the impression that coupling is a structure operating on one axis alone, i.e., on the paradigmatic axis or the axis of selection. But a poem operates on the syntagmatic axis as well, so that it has to be considered, not only as a set of corresponding, equivalent and parallel structures, but also as a set of linear relations holding among all elements in

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1 Levin, Linguistic Structures in Poetry, p. 54.

the structure--equivalent as well as non-equivalent ones.

6.5.7 Levin's eagerness to set up parallelisms and discover couplings at times misleads him to make the wrong cut or take the wrong decision in what he calls "the normalization of the text." In his search for correspondences and equivalences Levin looks at the Shakespeare sonnet more as a set of equivalent structures than as a unified whole. It is more important to realize that couplings are parts of a whole than exact equivalent parts--unrelated, as it were, to the whole. Levin confines the analysis of couplings to poetry, but coupling is not a feature confined to poetry: it is common to a number of different types of texts, verse or prose. Besides, it is interesting to note that Levin does not invest couplings with any other functional values than those of making the text memorable and unified. There is no attempt to link the distribution of couplings with value-judgement of any kind. Leaving aside memorability for the present, the cohesion of a poetic text depends as much upon the syntagmatic relation as it does upon the paradigmatic relations among different natural equivalence classes occupying equivalent positions. While the Shakespeare sonnet is successfully segmented and classified in terms of different types of couplings the question still remains: What role does each of the couplings play in the poem as a whole? And where is the poem in the end? Is Sonnet XXX merely a set of 9 couplings of 6 NPs and 3 VPs occurring in two conditional sentences, consisting of two parallel if-then syntagms?

6.5.8 From Hill to Levin there is a consistency of preoccupation in "structural" stylistics in that all the analysts using this framework are preoccupied with some form of structure in poetic texts. But there the similarity ends. What distinguishes them from one another is the approach to the very essence of structure. To Hill structure is merely a sum of parts which cohere into a simple, complete, and consistent whole. To Jakobson a structure is not just a sum of parts: it is a sum of symmetrical, corresponding, equivalent or parallel parts. To Riffaterre, on the other hand, a structure is a relation of opposites and contrasts--the marked and the unmarked, the stylistically active features and the stylistically neutral context. Structuralism appears to exist in a personalized form in Riffaterre. Note, for instance that he will have nothing to do with the Saussurean dichotomies. His closest ties with structuralism are with the Prague School notions of the linguistic structure as a union of opposites and contrasts, of the marked and the unmarked poles. His focus on stylistics as the linguistics of effects or as message-types is the soundest side of his approach. But for some reason this leads him to postulate the devices of the Super-Reader and the law of predictability. Riffaterre's ties with structural linguistics are tenuous, but the very fact that he considers himself a structuralist shows that there is a wide lattitude of theory and practice in structural stylistics.

Chapter VII

Transformational-Generative Grammars and Stylistic Analysis: Practice

7.0. Introduction

7.0.1 The publication of Chomsky's Syntactic Structures[1] in 1957 is considered a landmark in contemporary linguistics. In the monograph Chomsky tries to define explicitly the goals of linguistic theory. He rejects the writing of the grammar of natural languages as the goal of linguistic theory, because this reduces linguistic theory to a set of trivial discovery procedures. These procedures limit the linguist to the pre-scientific stage of collection and classification of data. A scientific discipline, on the other hand, is characterized essentially by the introduction of abstract constructs in theories and the validation of these theories by testing their predictive power. Such theories are marked by maximal validity in coverage of known data, and maximal elegance of statement. In the course of axiomatizing grammatical structure Chomsky formulates some rigorous criteria of excellence of grammars. One of these is that a grammar be evaluated in terms of simplicity (say, minimal number of symbols used). Since a finite grammar generates an infinite set of sentences one of the formal properties of grammar is the recursive nature of its rules. So we require of the grammar that the statements in it be maximally general--thus enabling us to predict correctly a maximum number of new elements and sequences which do not occur in finite corpus of the data with which we start. Chomsky defines grammar as a device which generates all the grammatical sentences of language L, only grammatical sentences

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1 N. Chomsky, Syntactic Structures (The Hague: Mouton, 1957).

and no ungrammatical ones. This requirement for the grammar is so central a feature of Chomsky's theory of language that the whole approach to language has come to be known as "generative theory." In the writings of Chomsky and his followers the term 'generative' is usually understood to combine two distinguishable senses: 1. projective or predictive, and 2. explicit. A grammar is projective or generative in that it establishes as grammatical, not only 'actual' sentences, but also 'potential' ones. Secondly, a grammar is explicit or generative in that it constitutes a system of rules (with an associated lexicon) which are formulated in such a way that they not only decide whether a given combination or sequence of elements is grammatical or not, but they provide for each grammatical combination at least one structural description. While the first sense of the term 'generative' ensures that a grammar generate all and only grammatical sentences of a language, the second sense ensures that a grammar be a set of explicit and formalized rules. The second sense of 'generative' presupposes a rigorous and precise specification of the nature of the grammatical rules and their manner of operation.

7.0.2 With Chomsky is also associated another equally influential notion in contemporary linguistics. This is the notion of 'transformational analysis'. A generative grammar is not necessarily a transformational grammar. The two are frequently confused, because they were introduced into linguistics at the same time by Chomsky. The notion of 'transformation' was also used by Zellig Harris in roughly the same sense as it was by Chomsky. One of the conditions

that Chomsky sets on grammars is that they assign two or more different automatic structural derivations for grammatically ambiguous sentences and that the grammar account for sentences which appear to be of the same outward form (surface structure) but are understood differently (deep structure). In terms of distributional analysis the structural or surface similarity between It was proved by Newton and It was proved by induction fails to show why the two sentences are understood differently. After analyzing the limitations of models of grammar based on a linearly concatenated sequence of immediate constituents, or Phrase Structure Grammars--as Chomsky describes them, he proposes to split the syntax of the language into two parts; 1. A Phrase Structure Component or base component, containing rewrite rules of the form $X + A + Y \rightarrow X + B + Y$, and 2. A Transformational Component, containing a set of rules, originally obligatory as well as optional, to be applied to the strings generated by the phrase structure component. The role of the transformational component is to assign to each sentence that it generates both a deep structure and a surface structure analysis and systematically to relate the two analyses. Explaining his proposal to split the syntax of the language into two parts Chomsky writes:

> The motivation for adding transformational rules to a grammar is quite clear. There are certain sentences (in fact, simple declarative active sentences with no complex noun or verb phrases--or, to be more precise, the terminal strings underlying these) that can be generated by a constituent structure grammar in quite a natural way. There are others (e.g., passive questions, sentences with discontinuous phrases and complex phrases that embed sentence transforms) that cannot be generated in an economical and natural way by a constituent structura grammar, but that are

> systematically related to sentences of simpler structure. Transformations that are constructed to express this relation can thus materially simplify the grammar when used to generate more complex sentences and their structural descriptions from already generated ones.[1]

On this account the motivation for the introduction of transformational rules is primarily a certain simplicity of grammatical statement. The transformational component also reveals how passive, interrogative, conjoined, and embedded sentences are systematically related to sentences of simpler structure--a relationship which constituent structure grammars do not reveal. If there were no transformational rules we would not be able to account for the differences between form and meaning, that is for ambiguity (one form but more than one meaning) and paraphrase (one meaning but more than one form). Ambiguity and paraphrase show that there is not a simple one-to-one connection between the meaning and the form of sentences. Transformational rules analyse the internal structure of the sentences in a way that accounts for our intuitive understanding of the sentences and their relation to each other. The brief resume given above of some basic notions of transformational-generative grammar will show what the arguments are about in the models of stylistic analysis which are inspired by this theory. While some of these ideas have brought major changes in contemporary linguistics the proponents of these ideas are arguing, not only about the minutiea of the proposed model of transformational-generative grammar, but also about

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1 N. Chomsky, "On the Notion 'Rule of Grammar'" in The Structure of Language: Readings in the Philosophy of Language ed. Jerry A. Fodor and Jerrold J. Katz (New Jersey: Prentice-Hall, Inc, 1964), p. 129.

its format and the place of transformations in the format. When Chomsky wrote the following in Aspects of the Theory of Syntax, in a way, he seemed to be questioning the raison d' etre of the earlier distinction between phrase structure rules and transformational rules upon which the transformational syntax was initially based:

> Rules applying to complex symbols are, in effect, transformational rules, and a grammar using complex symbols is a kind of transformational grammar rather than a phrase structure grammar.[1]
> It has become clear that it was a mistake, in the first place, to suppose that the base component of a transformational grammar should be strictly limited to a system of phrase structure rules, although such a system does play a fundamental role as subpart of the base component. ... ... The descriptive power of the base component is greatly enriched by permitting transformational rules.[2]

Apart from taking stock of the basic notions of the transformational-generative theory which, as we shall see later, have influenced a number of models of style-analysis, it might be relevant to add that the theory is in a state of transition and that the formalization of the different components of transformational-generative grammar as well as the nature of the rules which constitute these components is far from complete.

7.1. Transformational-Generative Grammar, Grammaticalness and Stylistic Analysis

7.1.1 Transformational-generative grammar is concerned with linguistic competence of the native-speaker/hearer. Such a theory of grammar is primarily concerned with what Chomsky calls

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1 Chomsky, Aspects, p. 90.
2 Ibid., p. 99.

> an ideal speaker-listener, in a completely homogeneous speech-community, who knows its language perfectly and is unaffected by such grammatically irrelevant conditions as memory limitations, distractions, shifts of attention and interest, and errors (random or characteristic) in applying his knowledge of language in actual performance.[1]

This is one way of positing a fundamental distinction between competence, the native speaker-hearer's knowledge of his language, and performance, the actual use of language in concrete situations. Following on this distinction, generative grammar is a competence model or a model of competence, not a performance model or a model of performance. This observation suggests that in so far as stylistic devices are performance phenomena, i.e., instances of the actual use of language in concrete situations, they lie outside the province of the theory of grammar. The study of style, of the literary texts as well as of the non-literary ones, has therefore a somewhat secondary and theoretically uncertain status within the framework of transformational-generative grammar. Recent overtures in the transformational-generative study of style are operational and exploratory in nature, and the status of the concept of 'style' within a generative grammar is pre-theoretical. For instance, Chomsky writes

> the only studies of performance, outside of phonetics, are those carried out as a by-product of work in generative grammar. In particular, the study of memory limitations... ... ... and the study of deviation from rules as a stylistic device, have developed in this way.[2]

The study of deviation from rules as stylistic device in poetry started as a by-product of work in generative grammar,

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1 Chomsky, Aspects, p. 3.
2 Ibid., p. 15.

but not as an independent enquiry into style or poetry attempted within the transformational-generative theory. In the recent years, with the formulation of the notions of the deep structure and the surface structure, a number of style analyses have been attempted by approaching the choice of transformations in a text sentence (i.e., a sentence which is a part of a text) as characteristic stylistic choices of an author or a text. As it will be clear later, some have also raised hopes on the possibility of comparative studies of different authors and styles on a quantitative scale by using the framework of transformational rules. But, basically, nearly all the recent work on stylistic analysis done within the framework of transformational-generative model may be said to follow two different, though ultimately convergent, lines of approach. The two approaches, each emphasizing one of the two theoretical bases of transformational-generative grammar, are:

1. The Generative Approach: Grammatical deviation as a stylistic device
2. The Transformational Approach: Deployment of surface syntactic forms (i.e., the choice of transformations in generating the surface forms) as stylistic devices.

While both approaches analyze style in terms of the grammatical rules the generative approach does so in terms of violation of the rules, and the transformational approach, in terms of the choice of transformational rules. That the transformational-generative analysts of style follow two different courses seems natural, because the two aspects of transformational-generative theory (i.e., generative theory

and transformational analysis) do not necessarily imply each other though both ultimately converge in the theory. There is also another valid distinction between the two approaches in that the generative approach is primarily interested in the problem of grammaticalness and in setting up degrees of grammaticalness within the theoretical framework of a generative grammar, or more precisely within the base component of a transformational-generative grammar, while the transformational approach to style, on the other hand, is less theoretical in its preoccupation and more text-oriented. If it has any theoretical 'axes to grind' it is only the validity of the transformational approach to style. The generative approach is poetry-centred, more specifically centred on such grammatically deviant poets as e.e.cummings and Dylan Thomas. It is primarily the theory that interests the proponents of this approach, not the poem in question. The poems are merely illustrations of the problems of grammaticality which interest the linguists. In the transformational approach prose is a more favoured area of investigation, and the texts chosen for analysis are the primary focus of interest, not the theory. In fact, the transformational approach takes the theory as a 'given' framework, not as a hypothesis to <u>test</u>, but as a set of rules to <u>apply</u>--the rules which are no longer a point for any further argument in terms of dysgeneration.

7.1.2 In <u>Syntactic Structures</u> Chomsky declares that "the fundamental aim in the linguistic analysis of a language L is to separate the grammatical sequences which are the sentences of L from the ungrammatical sequences which are not

sentences of L and to study the structure of the grammatical sequences."[1] The notion of 'grammaticalness' remains central in the transformational-generative theory, partly because syntax has been the focus of its attention since its inception, but mainly because the generative linguists were reacting against the hierarchical notion of language structure in the structuralist approach, i.e., from phoneme to morpheme and from morpheme to utterance. Chomsky suggests the test of acceptability to the native speaker (i.e., whether or not a sequence is acceptable to the native speaker of L as a sequence of L) as a behavioural criterion for grammaticalness. In Syntactic Structures it was, however, not yet clear in what precise relation 'acceptability' stood with 'grammaticality,' because while 'grammaticality' is a linguistic notion, 'acceptability' is not a notion definable in linguistic terms alone. But in Aspects of the Theory of Syntax Chomsky refines these notions and sets up a clear distinction between the two: "Grammaticality is only one of many factors that interact to determine acceptability."[2] One belongs to the competence phenomenon, the other to the study of performance. As a study of competence phenomenon, the investigation into grammaticality has brought into light a number of possibilities. One of these is the possibility of formalizing the degrees of grammaticalness within the theory of grammar, for example, in terms of a hierarchy of categorical sub-classification to be specified in the base component of a generative grammar.

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1 Chomsky, Syntactic Structures, p. 13.
2 Chomsky, Aspects, p. 11.

Before taking up the discussion of the generative approach to deviation in poetic texts, it seems worth remembering that it is as a by-product of the investigation into the generative capacity of grammars that a study of grammatical deviation in poetry has been taken up in the first instance by the linguists. When the question of'grammaticality' was raised at first, it was done so in the context of "experimental verification." Archibald A. Hill, in a paper titled "Grammaticality,"[1] took up Chomsky's categorical pronouncements to test ten deviant sentences--eight formulated by Chomsky and two by Martin Joos--on ten informants 'typical of the Academic community' and find out the determinants and variables in acceptance or rejection of grammatically deviant sentences. Hill found that out of the ten deviant sequences only one (Those man left yesterday) was rejected by all the ten informants as unacceptable. The rest were accepted or rejected for several different reasons--some quite contrary to Chomsky's categorical pronouncements. As a general conclusion to his experiment Hill writes

> If my experimental results are verifiable, as I believe they are, I am at a loss to account for Chomsky's assertions that all speakers unhesitatingly reject certain sequences or pronounce them as mere lists.[2]

Drawing upon the experiment Hill makes a number of significant points on the problem of grammaticality. His major contention is that "the transformationalist should not ask whether an isolated sentence is grammatical,"[3] with no attention to the process of its derivation. Secondly, Chomsky seems to

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1 Archibald A. Hill, "Grammaticality," Word 17 (1961), pp.1-10.
2 Ibid., p. 7.
3 Ibid., p.10.

rely on the absolute identifiability of morphemes which is not true when sentences are spoken. When spoken the acceptance or rejection of sequence of words is influenced by intonation pattern etc. At this stage Hill seemed to be interested in formulating a tool of eliciting reliable responses on acceptance/rejection poles and their convergence as a powerful foundation for generative grammars. Hill was talking of the degrees of grammaticalness, but his interest was, in fact, in elicitation of responses on an acceptance/rejection scale. What is notable is that at this stage in the debate on grammaticality there were hardly any references to poetry as such--that is, except for a few informant responses to such sequences as Furiously sleep ideas green colourless, which, to one of Hill's ten academic informants, "not only sounds like Modern Poetry, it sounds like good Modern Poetry."[1]

7.1.3 Chomsky responded to Hill's experimental results with his "Some Methodological Remarks on Generative Grammar," where Chomsky clarifies that grammaticality or degress of grammaticalness is a problem of far-reaching consequence than "such relatively superficial matter as agreement, inflectionally marked categories, and so on" and that "when a sentence is referred to as semi-grammatical or as deviating from some grammatical regularity, there is no implication that this sentence is being 'censored' or ruled out or that its use is forbidden."[2] Here according to Chomsky the main question is

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1 Hill, "Grammaticality," Word 17 (1961), p. 3.
2 Chomsky, "Some Methodological Remarks on Generative Grammar," Word 17 (1961), p. 21 Reprinted in Katz and Fodor under the title "Degrees of Grammaticalness," The Structure of Language, pp. 384-389.

> By what mechanism can a grammar assign to an arbitrary phone sequence a structural description that indicates its degree of grammaticalness, the degree of its deviation from grammatical regularities, and the manner of its deviation?[1]

The following is Chomsky's solution to the problem of grammaticality within the framework of generative grammar:

> A degree of grammaticalness can be assigned to any sequence of formatives when the generative grammar is supplemented by a hierarchy of categories. The degree of grammaticalness is a measure of the remoteness of an utterance from the generated set of perfectly well-formed sentences, and the common representing category sequence will indicate in what respects the utterance in question is deviant... ... ... the more detailed the specification of selectional restrictions the more elaborate will be the stratification of utterances into degrees of grammaticalness.[2]

In the course of his methodological remarks Chomsky sets out to give a list of three sets of sequences of formatives, such as 1) a grief ago; 2) a the ago; 3) a year ago. The sequence 'a grief ago' is from Dylan Thomas's poem with the same title. Chomsky listed these sequences to illustrate his point that the first set of sequences like "a grief ago" is not "as extreme in (its) violation of grammatical rules" as the second set of sequences as a the ago. As far as the analysis of deviation in poetry is concerned Chomsky stops with Dylan Thomas's a grief ago and the reference was incidental to his argument on degrees of grammaticalness.

7.1.4 It was, perhaps, no mere coincidence that the two linguists who actually brought the question of grammaticality from the level of "methodological" remarks on generative grammar to the discussion of poetic language as

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1 Chomsky, "Degrees of Grammaticalness," The Structure of Language, p. 386.
2 Ibid., p. 387.

such, were also the ones who showed an early structural linguistic interest in the language of literature. Levin and Hill happen to be these two linguists, which seems to reinforce the point that labels such as "structural stylistics" or "transformational-generative stylistics" lend a misleading validity and permanence to the distinctions which are not always so clearly traceable in practice or persuasion of the linguists preoccupied with style studies. Levin is a case in point. His Linguistic Structures in Poetry is an application in the analysis of poems of basic structuralist ideas in linguistics such as the axis of combination (syntagm), the axis of selection (paradigm), equivalence, parallelism, etc. His general statements on the linguistic structures in poetry are structuralist in their theoretical persuasion, but his 'practical' piece of analysis of Shakespeare's Sonnet XXX uses such notions as transformations or normalization of the text. 'Transformations,' as used by Levin at this stage, of course, owe more to Harris's work on discourse analysis than to Chomsky's work on the transformational theory of syntax. In this sense, Levin is already a transitional figure in his proposal to use 'normalizations' in structural analysis of the Shakespearean sonnet. Levin is also the first linguist to relate the question of grammaticalness to an investigation of poetic language within a generative framework. His paper, "Poetry and Grammaticalness"—first given at the Ninth International Congress of Linguists in 1962, may be said to have "inaugurated" a series of enquiries into grammatical deviation in poetic discourse. Like Chomsky, Levin himself

was primarily concerned with different degrees of grammaticalness, but he approaches the problem in his own way and makes use of examples from poems alone. We saw earlier what kind of solution Chomsky proposed in order to tackle the problem of degrees of grammaticalness. Chomsky wanted us to supplement the generative grammar with a hierarchy of categories. Levin's purpose in the paper is to propose an alternative procedure "which, though different in operation, yields results which are consistent with the results given by Chomsky's formulation."[1] One obvious difference in procedure is that Levin's examples are drawn from poems while Chomsky's, except for the two phrases—a grief ago and perform leisure, are made up by the linguist. Levin has an interesting point to make in this connection:

> Putative sentences do not become actual just because a linguist uses them. Such sentences do not belong to the corpus of the language, but rather to the linguist's metalanguage.[2]

The crucial difference between the two linguists seems to be one of procedure. Chomsky was interested in devising a mechanism within the generative grammar which would automatically assign a degree of grammaticalness to a sequence of formatives according to a hierarchy of categories. Levin, too, is interested in grammaticalness and its degree, but he approaches the whole question of the degree of grammaticalness in terms of dysgeneration of the grammar, i.e., in terms of the inadequacies of the grammar, not in terms of the

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1 Samuel R. Levin, "Poetry and Grammaticalness," in Essays on the language of Literature, eds. Seymour Chatman and Samuel R. Levin (Boston: Houghton, 1967), p. 226.

2 Ibid.

hierarchy of its categories. Grammar may be inadequate because it generates some sentences which are not grammatical (overgeneration), or it may be inadequate because it fails to generate some sentences which are grammatical (undergeneration). Levin sees the problem as the one which resolves into "the question of whether greater generality is desired of the grammar, or whether greater grammaticality is required of it."[1] In order to measure the degree of grammaticalness of sentences which are grammatically deviant, Levin proposes that we "fix the rules of the grammar so as to generate the sentences in question." Then the following procedure of measurement is to be adopted:

> The degree of grammaticalness of each of the tested sentences is then a function of the number of unwanted consequences (i.e., those sentences beyond the one in question) that the revised rule generates: the greater the number of such unwanted consequences entertained, the less grammatical is the sentence in question; the fewer such unwanted consequences the revised rule generates, the more grammatical is the sentence in question.[2]

By way of illustrating his line of argument, Levin takes up a comparison of a sentence from e.e.cummings, he danced his did, with a phrase from Dylan Thomas, a grief ago. Levin finds the two sequences different, not only in their grammaticality, but also in the degree of poetical effectiveness. Levin attempts to show that the two are inter-related. It appears that Levin hopes to measure both in terms of the number of unwanted sentences. In the case of a deviant sentence such as he danced his did one can, according to

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1 Levin, "Poetry and Grammaticalness," p. 224.
2 Ibid., pp. 226-227.

Levin's proposal, set up two alternative changes in the rules of the grammar, giving us the rules of the following form

Rule 1: NP ⟶ T + V (where NP stands for Noun Phrase, T for determiner, and V for verb); or alternatively,

Rule 2: N ⟶ did (where did is shifted from a class of verb to a class of Noun)

In the case of Rule 1, which specifies that Noun Phrase can consist of Determiner plus Verb, all kinds of things like the went, my had would be generated. If the alternative Rule 2 were adopted the sequence of adjective and noun would generate sequences like tall did, enthusiastic did etc. Thus thousands of "unwanted sentences would be generated by the grammar if it were fixed so as to generate he danced his did."[1] "Unwanted sentences" is an ambiguous expression because "unwanted" is a label that cannot apply to sentences. If a string of formatives is a sentence, i.e., a well-formed sequence generated by the grammar, the question of wanting or not wanting it does not arise. Wantedness cannot be a criterion of grammaticality of strings in a language. Besides, it is not a sentence (type) but an utterance (token) which forms part of the corpus. In real-life situation a string of formatives is not judged in isolation—particularly in isolation from its linguistic or non-linguistic context.

7.1.5 When the two sequences, he danced his did and a grief ago, are compared there is an underlying structural reason for our different reactions to them. The constituents involved in the adjustments in the grammar for generating a

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1 Levin, "Poetry and Grammaticalness," p. 227.

sequence like he danced his did comprise many more members than the adjustments required in the grammar for generating a sequence like a grief ago. At this stage in Levin's argument the theoretical framework adopted is the one formulated by Chomsky in Syntactic Structures. If one were to adopt the terminology of Aspects of the Theory of Syntax Levin's point can be summarized succinctly in the following words: while a grief ago violates the selectional restrictions of the lexical formative ago, he danced his did violates the strict sub-categorization of verb and/or noun did. While the first violates a co-occurrence restriction which is a very low level specific and local rule, the second violates a high level, general category of grammar such as Noun or Verb. In the base component of the transformational-generative grammar both selectional restrictions and strict-subcategorization of verbs/nouns are context-sensitive branching rules. Selectional restrictions have to do with the syntactic environment of the individual lexical formatives, but not, like strict-subcategorization, with categorical symbols as such. Therefore, e.e. cummings' he danced his did violates a much more general rule of the grammar than Dylan Thomas's a grief ago. The latter involves only a sub-class of nouns, comprising temporal and state of mind nouns, while the former involves a whole general class of nouns. As far as the degree of grammaticalness is concerned, it is, as we saw earlier, to be measured in terms of the unwanted output of the readjusted rules of the grammar. Thus

> The degree of grammaticalness of any sentence not directly generated by the grammar is thus in inverse proportion to the number of unwanted sentences which the revised rule generates.[1]

Chomsky was primarily concerned with the problem of assigning a degree of grammaticalness to an arbitrary sequence of formatives within the framework of a generative grammar; Levin, on the other hand, is preoccupied with the phenomenon of dysgeneration and through the problem of undergeneration he approaches the question of degree of grammaticalness. The prospect of quantifying the degree of grammaticalness in terms of the unwanted output of the revised grammar holds Levin longer than the prospect of studying poetic styles within the framework of a generative grammar. But Levin deserves the credit of opening this area for investigation through some insightful and provocative remarks, and one of them is his attempt to correlate the question of the degree of grammaticality with the degree of effectiveness of poetic innovation. Chomsky, somewhat earlier than Levin, pointed out that

> Given a grammatically deviant utterance, we attempt to impose an interpretation on it, exploiting whatever features of grammatical structure it preserves and whatever analogies we can construct with perfectly well-formed utterances.[2]

Here Chomsky appears to be conflating two different issues: 1. grammaticality, and 2. interpretability. This is, indeed, one of the most crucial issues of the theory of syntax. But what needs to be pointed out here is that the issues involved

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1 Levin, "Poetry and Grammaticalness," p. 229.
2 Chomsky, "Some Methodological Remarks on Generative Grammar," Word 17 (1961), p. 234.

are distinct and different. We do not interpret sentences: we interpret utterances. Grammar sets the limit to what is grammatical but not to what is interpretable. The degrees of grammaticalness may be amenable to measurement in terms of what Levin calls "the number of unwanted sentences," but the degree of interpretability depends on the context as much as on the code. Considered in the light of Chomsky's statement sequences like a grief ago are more effective than the sequences like he danced his did, because in the former the grammar limits the framework within which the attempts to render the sequences grammatical must take place. Where the deviation is an instance of the violation of a low level rule or an example of the violation of co-occurrence or selection restriction

> it makes feasible the grammaticalizing of the sequence, and it brings into association with the elements in the sequence a group of forms with narrow, well-defined meanings. This latter type of confrontation probably lies behind all metaphor.[1]

At this stage, though the debate is still focussed on grammaticality, poetry may be said to have entered the agenda through the back-door of generative grammar, and Levin's insightful remarks, though few and far between, bring the prospect of studying poetic language within the framework of generative grammar fairly near. Though the points Levin is making seem to have a very wide relevance for a linguistic scrutiny of the grammar of poetic language in general and metaphor in particular, Levin confines his discussion to two

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1 Levin, "Poetry and Grammaticalness," p. 230.

isolated pieces of examples from modern poetry. That we interpret the new in terms of the given applies to metaphor as well as to several other linguistic and non-linguistic forms of communication. Shorn off of all the trappings of the theory of syntax, what Levin is saying is that the effectiveness of the new depends upon its proximity to the given. There is, however, very little evidence for the justification of such a position, particularly in regard to poetic language. Much of the effectiveness of, say, the 'conceit' of the seventeenth-century English Metaphysical poets seems to depend, not upon the proximity of the new to the given, but upon their distance, so much so that these conceits provoked Johnson to think of them as discordia concors--as discordant elements yoked together by violence. One disquieting feature of Levin's remarks, disquieting, that is to say from a non-grammatical point of view, is that he discusses the two deviant sequences in complete isolation from the total context of the discourse of which the sequence is merely a fragmentary constituent. This considerably weakens Levin's initial distinction between 'actual' sequences and 'made up' sequences. It is equally possible to talk of the sequences a grief ago and he danced his did as a part of the linguist's metalanguage rather than as actual sequences in the corpus, because in considering these sequences in terms of analogy to well-formed utterances of their form, Levin does not pause to check them up in their total context. Presumably, at this stage the linguist does not deal with units larger than the sentence or a part of the sentence. At any rate, he is examining the utterance-tokens in terms of the sentence-types.

This is why Levin confines his attention to the sequences *a grief ago* and *he danced his did* as *types* of dislocation in the machinery of grammar.

7.1.6 Levin's theoretical framework in "Poetry and Grammaticalness" is sufficiently clear: he was working within the framework of generative grammar hoping to formulate a kind of 'quantitative' procedure for handling the phenomenon of dysgeneration, with examples drawn from 'actual' sentences. The linguist to fault Levin's approach is Hill, and he was not adopting a transformational or generative approach to the analysis of poetic language. Hill's significance lies not so much in his theoretical persuasion as in his attempt to shift the focus of the debate from grammaticality to the nature of poetic language. Hill finds Levin's conclusions questionable on, among others, two major accounts. First, Hill does not believe that in examples such as *he danced his did* and *a grief ago* the poet was "fixing his grammar" so as to generate the forms in question. He assumes that the poet started with a fully well-formed and well-constructed sentence, which he then distorted in order to secure an effect. That is to say, grammatical deviations in poetry are distortions for a special effect. Here Hill reminds us of the Prague school notion of foregrounding. What is significant in Hill's argument is that he finds these 'distortions' merely local and specific--specific to a particular context, rather than a problem of dysgeneration or of grammatical rules of global relevance. Hill's central point is that

> If distortions are for a special effect, it follows that they are not generally applicable, and apply instead only to the special situation where the effect can be achieved. They may be stated in ordered rules, of course, but they do not bring with them a necessary similar distortion of all sentences grammatically parallel to the one originally modified.[1]

Here Hill brushes aside Levin's preoccupation with dysgeneration, because the question of the predictive or enumerative power of the rules of grammar or of the modified rules is regarded by Hill as a kind of irrelevant and unnecessary distraction for the simple reason that the implications of these 'distortions' are local but not global. Hill is contented to evaluate these sequences as tokens and if he discusses them as types they are not discussed in terms of what he calls 'ordered rules' or the explicit rules of a generative grammar, but in terms of what he calls "the underlying normal form." From the distorted sequences like a grief ago or once below a time it is possible to "recover" an underlying normal, well-formed, non-deviant sequences, such as a year ago or once upon a time etc. Hill gives examples of two types of distortion: 1. Distortion by transposition 2. Distortion by substitution. Hill believes that "distortion by substitution and transposition for discoverable poetic effect is a normal poetic process, not one characteristic of the wilder moderns alone."[2] Hill gives the following poem by e.e. cummings as an example of distortion by transposition:

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1 Archibald A. Hill, "Some Further Thoughts on Grammaticality and Poetic Language," Style, Vol 1 No 1 (1967), p. 84.
2 Ibid., p. 90.

nonsun blob a
cold to
skylessness
sticking fire

my are your
are birds our all
and one gone
away the they

leaf of ghosts some
few creep there
here or on unearth

Hill believes that in the above 'scramble of words' an underlying regular non-deviant structure can be recovered. As a hypothesis he suggests that such a structure could be of the following nature:

> nonsun---a blob, cold fire, sticking to skylessness
> the birds are me(ne), are your(s), and our(s). They are one and all gone away.
> Some few ghosts of leaf creep here and there on unearth.

The recovered underlying form is a matter of probabilities, and Hill's proof is that no new word is added or the given word altered except for morphophonemic changes. Another type of distortion in poetic language that Hill discusses is the distortion by substitution. Here Hill has a kind of stimulus-response view of poetic devices. The poet has a regular or normal sequence at the back of his mind, and a word or term in the sequence serves as a stimulus for substitution. The response is the word that replaces the word in the normal sequence. The replaced word is the stimulus: the replacing word is the response. Hill's examples may be summed up thus:

Regular Sequence	Stimulus	Response	Distorted Sequence
Once upon a time	upon	below	Once below a time Dylan Thomas
A slender fellow in the grass	slender	narrow	A narrow fellow in the grass Emily Dickinson
And blights with plague the Marriage bed	bed	hearse	And blights with plague the Marriage hearse William Blake

Hill's paper brings a number of important issues to the fore. The main objection he has to Levin's approach to poetic effectiveness in terms of the "unwanted sequences" is that "to quote only 'he danced his did' takes no account of the immediate context... ... Though distorted the distortions (in the poem) are in a pattern which adds to the meaning, rather than merely conceals it."[1] Hill's statement may be related to Halliday's approach to the formal property of literary language. As we saw in Chapter V, Halliday considers the patterning of the variability of patterns as a special property of literary language. In fact, as we shall see later in this chapter in 7.1.7, Thorne's approach, too, is based on the realization that although we recognize the deviant sequences as being deviant

> it is sometimes also the case that they are felt not to be deviant within the context of the poem... ... (The) irregularities are regular in the context of the poem.[2]

Poetic effectiveness cannot, in other words, be judged out of the poem's context in terms of the unwanted sentences generated by the revised rules of the grammar. Thus "the

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1 Hill, "Further Thoughts on Grammaticality," pp. 89-90.
2 J.P. Thorne, "Generative Grammar and Stylistic Analysis," in New Horizons in Linguistics, ed. John Lyons (Harmondsworth: Penguin, 1970), p. 192.

explanation of the ineffectiveness of *he danced his did* in the strict Chomskyan terms proposed by Levin is open to question."[1] Unfortunately Hill has no convincing alternatives, in theory or practice, to suggest. The nearest to anything resembling a suggested alternative is that "we must give the possible source sentence" for the distorted ones. We do not, however, know whether Hill's regular, normal, non-deviant, underlying or source sentences are to be regarded as a species of 'deep structure'. But one would have hoped that in the post-*Aspects of the Theory of Syntax* linguistics such notions as 'source sentence' would be formulated more cogently than Hill seems to care to do. In Hill's paper any such prospect is dimmed by the fact that he brings in the poet's intention as a factor into the scrutiny of poetic effectiveness. Deviation is a linguistic notion, distortion is not unless the linguist is willing to (as Jan Mukarovsky[2] and his Prague colleagues do) posit an accompanying notion of the norm. Hill's solution is unpromising when he concludes his paper by saying

> When substitution or transposition is employed so that meaning is concealed the result is a cryptogram. When either is employed to enhance meaning by achieving an aesthetic effect, the result is a poem. In these terms *nonsun* is a cryptogram. *Anyone lived in a pretty how town* is a poem.[3]

Hill's summary is epigrammatic but uniquely unilluminating. His contrast between a cryptogram and a poem is rhetorically

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1 Hill, "Further Thoughts on Grammaticality," p. 89.
2 Jan Mukarovsky, "Standard Language and Poetic Language," in *A Prague School Reader on Aesthetics, Literary Structure, and Style*, ed. Paul L. Garvin (Washington: Georgetown University Press, 1964), pp. 17-30.

effective but theoretically indefensible so long as Hill, or for that matter the linguistic approach to poetic texts, does not devise a feasible apparatus which effectively measures such indeterminate features of poetic texts as "enhanced meaning," "concealed meaning," and "aesthetic effect." To substitute these terms for Levin's "unwanted sentences"—approach to poetic language is not merely to substitute 'distortion' for 'deviation', it is merely to substitute depth psychology for generative grammar.

7.1.7 Levin and Hill have inaugurated the debate but neither appears to have a well-defined commitment to the theory of generative grammar in relation to stylistic analysis. Thorne, on the other hand, appears to be committed, not only to generative grammar, but also to the generative approach to stylistic analysis. Thorne is, therefore, the best available model of generative approach to stylistic analysis, and in our context a close scrutiny of his work on stylistics should be rewarding for exploring the possibilities and limitations of the generative approach to style analysis. Thorne has published two papers--"Stylistics and Generative Grammars,"[1] and "Generative Grammar and Stylistic Analysis."[2] There is also a short paper, "Poetry, Stylistics and Imaginary Grammars"[3] which is Thorne's rejoinder to Hendricks's

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1 J.P. Thorne, "Stylistics and Generative Grammars," Journal of Linguistics, Vol. 1, (1965), pp. 49-59. Reprinted in Linguistics and Literary Style, ed., Donald C. Freeman, pp. 182-196.

2 J.P. Thorne, "Generative Grammar and Stylistic Analysis," in New Horizons in Linguistics, ed., John Lyons, (Harmondsworth: Pelican, 1970), pp. 185-197.

3 J.P. Thorne, "Poetry, Stylistics and Imaginary Grammars," Journal of Linguistics, 5, i (1969, April), pp. 148-151.

criticism of the earlier of the two papers. Thorne begins with a modest hope that generative grammar might prove to have an important influence on stylistic analysis. Thorne's hope is based on two observations of his: 1. Generative grammar and stylistics are both concerned with essentially the same kind of phenomena, i.e. linguistic structures. 2. Generative grammar is important to stylistics because in addition to the surface structure facts it is concerned with the deep structure aspects of language. Thorne believes that most stylistic judgements relate to the deep structure, but like most linguists investigating style from the generative point of view Thorne approaches stylistic analysis through the problem of grammaticalness in poetic texts. We saw earlier how the grammarians of transformational-generative school consider grammar to be a device which generates all and only the well-formed sentences of a language. However, very frequently we come across texts, such as e.e. cummings's poem anyone lived in a pretty how town, containing sentences which cannot be generated by the grammar of the language, i.e., sentences which are not well-formed. Between the extremes of well-formed sentences occur sentences or semi-sentences of varying degrees of grammaticalness. Very often their ungrammaticalness is the result, not of their having no syntactic structure, but of their having a syntactic structure that differs from that of any well-formed sentences. Thus in these instances the device of generative grammar and the data of observable linguistic texts are not co-terminus. As Thorne puts it, "This calls attention to the fact that it is clearly too much to expect a grammar to be capable of generating all

the sentences which might form part of our data."[1] Like all other types of grammar, generative grammars too leak.

7.1.8 In the face of this situation the generative grammarian is confronted with a dilemma. It looks as though he must either complicate his device in order to incorporate the data, in which case his grammar will contain statements so complex that they become virtually meaningless, or accept a grammar capable of generating, not only the observed deviant, ill-formed and semi-sentences, but also a vast number of "unwanted" sentences. Thorne says that although we recognize these deviant sentences as being deviant, "it is sometimes also the case that they are felt not to be deviant within the context of the poem...These irregularities are regular in the context of the poem."[2] Basically, there are two ways of accommodating these observable deviant linguistic facts. First, we could simply list those structures in the text which are deviant, indicating in each case which rules have been broken. The second way is "to regard the poem as a sample of a different language, or a different dialect, from Standard English,"[3] and state the rules of a counter-grammar which would actually generate the observed structures. Thorne favours the second alternative, and the reason, among others, is that

> it seems to me comparatively uninteresting merely to make a list of the kind of grammatical deviations to be found in a poem and much more instructive to talk

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1 Thorne, "Stylistics and Generative Grammars," Linguistics and Literary Style, p. 183.
2 Thorne, "Generative Grammar and Stylistic Analysis," in New Horizons in Linguistics, p. 192.
3 Thorne, "Stylistics and Generative Grammars," in Freeman, pp. 185-186.

> about the language in which the poem is written as having a different grammar from that of Standard English.[1]

Thorne's favoured solution is to construct counter-grammars for deviant poetic texts. Thorne argues that such grammars must contain theoretical terms, first because "the notion of what a grammar is logically prior to the formulation of a grammar for any particular language," and secondly because the main purpose of constructing such a grammar is "to discover how such a grammar differed from a grammar of English."[2] In other words, it is not two texts which would be compared: it is the two languages. Above all, Thorne justifies such an approach on the ground that there is a relationship ("exceedingly difficult to analyze"--as Thorne puts it) between the structure of the grammar one proposes for a poetic text and one's understanding (i.e., the semantic interpretation) of it. Thorne is much more specific about it in his later paper than he was in the former:

> The whole point of constructing a grammar which would generate these constructions is that it provides a way of stating clearly the interpretation that one finds for them. ... ... In making choices about the grammar one is choosing between readings of the poem.[3]

As a theory Thorne's approach is persuasive and attractive, but it is not without practical problems. There is, for instance, the problem of constructing a grammar for a language based on such a small body of data as a poetic text. Thorne's

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1 Thorne, "Poetry, Stylistics and Imaginary Grammars," Journal of Linguistics 5:1 (1969 April), p. 148.
2 Thorne, "Stylistics and Generative Grammars," in Freeman, pp. 188-189.
3 Thorne, "Generative Grammar and Stylistic Analysis," in Lyons, pp. 194-195.

solution is that we set "a high premium on intuition" for deciding which are features of the language and which are merely features of the sample, although all the data given is the sample. After all a grammar is a special kind of "statement about these intuitions."[1] The theoretical basis of Thorne's plea may be summed up in his own words:

> Behind the idea of constructing what is in effect a grammar for the poem lies the idea that what the poet has done is to create a new language (or dialect) and the task that faces the reader is in some ways like that of learning a new language (or dialect).[2]

7.1.9 Thorne's theory is one thing, his practical piece of stylistic analysis is quite another. As an illustrative piece Thorne takes up to construct a counter-grammar for e.e. cummings's anyone lived in a pretty how town. The deviations in the cummings poem are seen mainly in the use of nouns: words which are not classified as nouns in Standard English are used as Nouns, and words which are classified as Nouns in Standard English are used as adverbs or adverbial complements. On the basis of the distribution of these features in the cummings text Thorne postulates three separate rules to be incorporated into the grammar of the dialect. The proposed rules are given below. The rule-format is, however, not Thorne's.

Rule 1: $N_1 \rightarrow$ Noun $Class_1$

Noun $Class_1 \rightarrow$ Nouns that enter into VP to form object

Nouns that enter into VP to form object $\rightarrow$ did, didn't, isn't

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1 Thorne, "Stylistics and Generative Grammars," in Freeman, p.190.

2 Thorne, "Generative Grammar and Stylistic Analysis," in Lyons, p. 194.

Rule 2: $N_2 \rightarrow$ Noun $Class_2$

Noun $Class_2 \rightarrow$ (Sub-class A
(Sub-class B
(Sub-class C

N_2 Sub-class A → Nouns which behave as Adverbs

Nouns which behave as Adverbs → spring, summer, autumn, winter, sun, moon, stars, rain

N_2 sub-class B → Nouns that can occur only in rules generating Adverbial Complements

Nouns that can occur only in rules for generating Adverbial Complements → tree, leaf, bird, snow, when, now, stir, still

N_2 sub-class C → Nouns that occur in the text as subject

Nouns that occur in the text as subject → women, men, children, folk

Rule 3: $N_3 \rightarrow$ Noun $Class_3$

Noun $Class_3$ → Nouns that can be subject or object, but not part of compound nominal phrase with adjectives

Nouns not part of compound nominal phrase → no one, anyone, someones everyones

There are a number of points that could be raised in regard to these rules of Thorne's putative grammar. But before taking up these points it might be relevant to mention two other details. The first of these concerns the rules postulated by Thorne. In constructing the rules Thorne mentions that his counter-grammar for the poem "does not incorporate all the restrictions which an examination of the

data might suggest."[1] Secondly, Thorne claims that the language of all good poetry violates the deep structure rules of the grammar. It is not quite clear how Thorne's grammar will "actually generate" the deviant structures as they occur in cummings's poem if the rules do not "incorporate all the restrictions which an examination of the data might suggest." Secondly, Thorne does not show us how his grammar is related to the possible interpretations of the poem. Nor does he show us if there is a one-to-one correspondence between the rules he has chosen and the semantic interpretation he favours in the poem. The poem does violate the deep structure rules of the grammar such as the subcategorization of nouns and verbs, their selectional restrictions and so on. These violations or the new rules which may be postulated on the basis of these violations do have some semantic implications in the poem as a whole. But it is doubtful if the choice of a particular type of rule that will generate the deviations observed in the text can be shown to be related to a particular reading of the text. For one thing, while every syntactic deviation is relevant for constructing what Katz calls a 'counter-grammar,' not all of these syntactic deviations will have equally significant semantic implication for the interpretation of the poetic text. Secondly, to consider the construction of counter-grammars purely in terms of choice of rules is probably an over-statement. "Man broke the grape's joy"--a line from Dylan Thomas's This Bread I Break--is syntactically deviant in that it assigns the

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1 Thorne, "Stylistics and Generative Grammars," in Freeman, p. 187.

attribute of an animate noun to a non-animate one. In a hypothetical grammar to be constructed for the Thomas sequence is there, in any meaningful sense, a wide range of available choices either in possible rules or in possible interpretations of the sequence? Except for the trivial details of rule-schema, which will make no difference in one's reading of the sequence, the choice is virtually non-existent. No wonder that Thorne's own attempt to show relationship between the rules he posited and the meaning he read in the poem appears as putative as his grammar. This is almost obvious when Thorne writes

> Although to justify my own equally precise rules I can only make vague remarks about anyone and no one seeming to me to be names of characters but who can only be described by their actions, not by epithets. Equally elusive are most of the motives behind my division of the nouns into three subclasses and my rejection of sentences like They went came as opposed to They went their came). Again I can only make vague remarks, which in themselves have nothing to do with the syntax of the poem at all, and suggest that it might have something to do with my impression that the self-preoccupation of the inhabitants is one of the most important features of the world described by the poem.[1]

The precise form of the rules that Thorne wants to write and incorporate in his putative grammar stands in a sharp contrast to the general vagueness of interpretative value Thorne assigns to them. Thorne's own attempt to relate the two does not seem to support his claim that in making choices about the grammar one is choosing between readings of the poem. Nor does Thorne produce any evidence in support of his claim that all good poetry violates the deep structure rules while

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1 Thorne, "Stylistics and Generative Grammars," in Freeman, p. 192.

bad poetry violates only the surface structure rules. It seems Thorne, like the other linguists trying the generative approach to the analysis of poetic texts, gives a somewhat disproportionate importance to the deviant features of these texts as well as to the works of the poets who make use of them. In fact, the deviant features in poetic texts, from Dylan Thomas to e.e. cummings, are comparatively isolated in the context of a large number of normal ones. One's choice between readings, where such choices exist, depends not just on the deviant features, but also on the normal features of the text. In actual practice it may be the normal features of the text which enable us to choose one or other interpretation of the deviant features. Thorne cites a poem by Theodore Roethke called "Dolour," from his Words for the Wind (1957). The first line of Roethke's poem reads

I have known the inexorable sadness of pencils

There are two other deviant linguistic features in Roethke's poem: dolour of pad and paperweight, misery of manila folders and mucilage. In a poem of 13 lines these three deviant noun phrases do not create any problem of understanding or interpretation. As Thorne himself puts it, "They can be understood." The fact that they can be understood is, however, not because we choose one set of rules instead of another. It is because there are many normal features in the poem as compared with the three deviant ones and they provide a syntactic and semantic context to place these deviant features.

7.2. Deep Structure, Surface Structure and Style

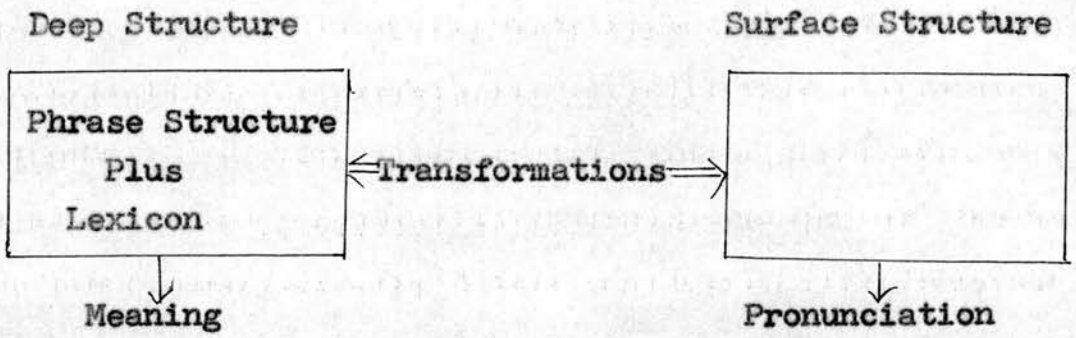
7.2.1 It has already been mentioned elsewhere in this section that transformational-generative grammar has inspired two types of approach to style analysis. The earliest overtures to style made by the generative linguists were "a by-product" of their work on generative grammars--a by-product of their work on the recursive properties of generative grammars and subsequent phenomenon of dysgeneration. This approach concentrated on the grammatical deviations exemplified by such experimental modern poets as e.e. cummings and Dylan Thomas. Here poetry merely supplied a handy set of examples for discussing what Rene Wellek calls "a kind of counter-grammar,--a science of discards."[1] Approaching style from the 'generative' perspective of transformational-generative grammar seems to hold up to us only one prospect so far--i.e., the prospect of making style-study a study of linguistic deviation as literary device. In pressing on such an approach one is subscribing to a view of literary structure which is, at this stage of our knowledge of such structures, still debatable. There is more to literature than linguistic oddity. Within the transformational-generative framework a more promising approach to stylistic analysis appears to be the one which uses the apparatus of 'transformational analysis' rather than the 'generative' perspective. The difference between the two approaches is inherent in the theory of syntax. The transformational and the generative approaches to the theory of syntax are complementary but not

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1 Rene Wellek, "Closing Statement from the Viewpoint of Literary Criticism," in Style in Language, ed., Thomas A Sebeok (Cambridge, Mass: the MIT Press, 1960), p. 417.

identical ones. One does not necessarily subsume the other. Both traditional and descriptive grammars are generative; perhaps all grammars are generative, but only a transformational grammar is transformational. That is to say, only transformational grammars have 'transformational rules'--i.e., explicit formal operations on strings which map phrase-markers into new, derived phrase-markers by substitution, insertion, deletion or transposition of elements. In the earliest versions of transformational-generative grammar (such as the one proposed in Syntactic Structures), transformational rules are either obligatory or optional--the obligatory transformations, when applied to a single phrase-marker with no conjoining or embedding of other phrase-markers, give us the kernel sentence. Optional transformations are such operations as passivization, negation, question etc. Transformations which operate on more than one phrase-marker i.e., conjoining and embedding, are called generalized transformations (as against singulary transformations which operate on only one phrase marker.). Transformational grammars are, thus, based on the notion of formal procedures and analyses. Fundamental to transformational-generative grammars is the notion of rule: a transformational-generative grammar is a "rule-based" grammar, and the rules of a transformational-generative grammar are 'rewrite rules'--i.e., rewrite one symbol as another or as several others until eventually the sentences of the language are generated. Syntactic Structures posited a three component organization of grammar: 1. Phrase Structure Rules 2. Transformational Rules, and 3. Morphophonemic rules. The transformational

rules were brought into the analysis of syntax because the phrase structure rules or labelled bracketing operations could not handle semantically significant grammatical relations. In Syntactic Structures the output of the phrase structure rules consisted of the underlying strings which had to be operated on by transformations to produce the final forms of sentences for morphophonemical analysis. Although there was no explicit formulation of the distinction between the surface structure and the deep structure, the 1957 version of transformational-generative grammar already mapped the deep grammatical relations on to the surface form by means of the transformational rules and the morphophonemic rules. The role of the transformational rules in mapping the semantically significant 'deep' grammatical relations on to the surface forms, has been given much more elaborate treatment in Chomsky's later writings. But at the same time, the intuitively appealing earlier distinction between phrase structure component of the grammar and the transformational component--a distinction so fundamental to the theory that it motivated the formation of transformational approach to syntax--has become, not only blurred, but redundant in Aspects of the Theory of Syntax. So has the earlier distinction between the kernel and the non-kernel sentences. All transformations are now obligatory and they are believed to preserve all the semantically significant grammatical relations. The diagram below (p.) summarizes the role of transformations in the revised theory of syntax:



7.2.2 The brief resume, given above, of the place of transformational rules in the theory of transformational-generative grammar, will have indicated that the approaches to style-analysis within this framework will have to deal with three basic notions--deep structure, surface structure and transformations. In the literature of transformational-generative stylistics there is a distinct set of analyses which ignores the generative perspective but accepts the transformational rules as the theoretical framework of style-analysis. Fundamental to this approach in stylistic analysis is the notion of transformation as alternative means of mapping more or less semantically equivalent surface structures from the same deep structure. The linguists who have worked on literary style adopting the transformational perspective have approached style as a surface phenomenon. To these linguists style is a matter of choice, not of deep semantic relations, nor of meaningful syntactic forms, but simply among surface syntactic forms which are said to be semantically equivalent. Apparently, Chomsky's own later dictum that all transformations are meaning-preserving has also lent approval and support to this approach to style. Style, as we saw earlier, has no status in the theory of syntax, but the linguists who argue that "recent developments

in generative grammar, particularly on the transformational model, promise, first to clear away a good deal of the mist from stylistic theory, and second, to make possible a corresponding refinement in the practice of stylistic analysis,"[1] are building their theoretical hopes and practical efforts on an early version of transformational grammar in which the notion of "kernel sentence" is a very important one and in which all major formal operations are actually optional singulary and generalized transformations. The format of the grammar has undergone several changes since the publication of Syntactic Structures in 1957, and in the more recent versions all transformations including the generalized ones are obligatory. The kernel sentences of the vintage version have now no status in the grammar. This does not, however, mean that the approach to style based on Syntactic Structures-version of transformational-generative grammar does not deserve attention. On the contrary, both the theoretical and practical claims of this approach need to be investigated in order to find out whether they can satisfy our requirements. As Ohmann is the first linguist to attempt the analysis of literary texts within a transformational perspective it will not be out of place to discuss his work as a model of this approach. Ohmann stands out as a landmark also because for a test of validity he sets up his own criteria.

> For a transformational analysis, however appealing theoretically, will not be worth much unless it can implement better stylistic descriptions than have been

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1 Richard Ohmann, "Generative Grammars and the Concept of Literary Style," in Linguistics and Literary Style, ed. Donald C. Freeman (New York: Holt, Rinehart and Winston, 1970), p. 263.

> achieved by other methods--"better" in that they isolate more fully, economically, and demonstrably the linguistic features to which a perceptive reader responds in sensing one style to be different from another.[1]

Ohmann's work in his paper "Generative Grammars and the Concept of Style" can be scrutinized by using his own tests of validity. He builds his initial argument for the transformational approach to style on the view that different styles are different ways of saying the same content. Ohmann makes repeated use of such terms as 'content,' 'proposition' and 'close approximations' throughout the paper. But he does not give his readers the advantage of an explanation as to their status in the transformational theory which he accepts as his framework of reference. The theory of syntax incorporates a notion of paraphrase in the sense that "After dinner, the senator made a speech" can be said to be an "active" paraphrase of "A speech was made by the senator after dinner," because they are semantically as well as syntactically related. But whether or not

The senator made a postprandial oration,

or,

The termination of dinner brought a speech from the senator/are paraphrases or "close approximations" in "content" or "proposition," cannot be ascertained within any version of transformational generative grammars as long as transformational syntax does not incorporate a theory of lexical synonymy to supplement the notion of syntactic

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1 Richard Ohmann, "Generative Grammars and the Concept of Style," in Freeman, p. 268.

paraphrase.[1] While paraphrase can be syntactically ascertained in terms of deep grammar, synonymy in content or proposition cannot. That "John supports Mary" and "Mary is supported by John" are paraphrases that can be ascertained because the same deep grammatical relations can be recovered whatever the surface form may be. But whether "John feeds Mary" is a close approximation in content/proposition of "John supports Mary" cannot be tested without a theory of synonymy. Ohmann's proposal is uncertain on a different ground as well. He pleads for a transformational approach by enumerating the three obvious merits of transformational rules vis-a-vis phrase structure rules:

1. A large number of transformations are optional.
2. Transformational alternatives seem to be different renderings of the same proposition because transformations operate on one or more strings (elements with structure), not on single symbols like VP, and
3. Transformational rules can explain how complex sentences are generated and how they are related to simple sentences.

Even if one ignores, for the moment, the first claim, the second merit of transformational rules does not seem to stand a close scrutiny. Ohmann says that "transformational alternatives" are different derivatives from the same kernel sentences.[2] For one thing, it assumes that one can ascertain for every single sentence in Text A one or (in the case of

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1 See Roger Fowler, "Style and the Concept of Deep Structure," Journal of Literary Semantics 1 (1972), pp. 5-24.
2 Richard Ohmann, op.cit., p. 267.

embedded and conjoined sentences) more kernel sentences and that for every kernel sentence there are transformational alternatives. Neither the notion of kernel sentence nor the notion of transformations in terms of alternatives to a given kernel is likely to be of immediate practical aid to style studies unless the linguist is setting up either a hypothetical linguistic norm versus actual stylistic variations, or a comparison of several different hypothetical variations in style. This view of literary style will certainly be of greater use if there is a limited set of close approximations in content or propositions to write about. It is possible to talk in terms of proposition or content of a sentence, or of the content of a text, sentence by sentence, but can one talk of the proposition of, say, a Keatsean ode? What Ohmann's claim amounts to is that one can hypothetically compare an actual text sentence with a number of potential ones in terms of alternatives where such alternatives exist as transformational operations on a kernel sentence. Ohmann's idea about style can be summed up with the help of the following table:

	$Transformation_1$ —— $Sentence_1$		Actual Text Sentence
	$Transformation_2$ —— $Sentence_2$		
	$Transformation_3$ —— $Sentence_3$		Potential Stylistic Alternatives
Kernel Sentence(s) ——	$Transformation_4$ —— $Sentence_4$		
	$Transformation_5$ —— $Sentence_5$		

Sentences 1, 2, 3, 4, and 5 are all variations or stylistic alternatives of the kernel sentence A and therefore propositionally more or less the same in content. Sentence 1 occurs in the text but sentences 2, 3, 4 and 5 can all potentially do so. Although Ohmann says that

> there is at least some reason, then, to hold that a style is in part a characteristic way of deploying the transformational apparatus of a language, and to expect that transformational analysis will be valuable aid to the description of actual styles[1] (My emphasis)

in actual fact he is positing a map of hypothetical alternatives against which a style is to be compared. Therefore, one is not quite sure whether Ohmann is attempting to justify a transformational approach to style in terms of the comparison of hypothetical alternative styles or in terms of the description of actual styles. As an aid to description of style transformational analysis appears to have some obvious limitations. To mention only one, it may be of demonstrable significance to compare the stylistic differences between, say, a text extract from William Golding's novel and another extract from Henry James's. A comparison of findings in terms of the positioning of embeddings as well as singulary transformations of various sorts will be of immediate relevance to verify one's intuitive perception of the stylistic differences between the two novelists. Here the most significant differences are the ones which are likely to be on the axis of syntagmatic alternatives. But when one is comparing the styles of, say, Joseph Addison and Samuel Johnson, one may, for instance, find that while Addison writes

The senator made an after-dinner speech

Samuel Johnson is likely to write

The senator made a postprandial oration.

Both are transformationally and structurally similar: Determiner+Adjective+Noun. The time adverbial 'after

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1 Ohmann, "Generative Grammars and the Concept of Literary Style," in Freeman, p. 268.

dinner' has been transposed and placed between the Determiner and the Noun, and it functions as a nominalized adjectival form. But neither their propositional similarity nor the similarity of their derivational history in terms of transformations they underwent, does tell us anything about the intuitively perceptible stylistic differences between the two sentences. This shows at least one serious handicap in describing style in terms of a single axis approach. On the axis of structure or chain or syntagm the Noun Phrases an after-dinner speech and a postprandial oration are equivalent, but language being also a system of paradigmatic choices (diction--in traditional rhetoric), where one writer chooses speech another may choose oration and this makes just as noticeable and significant a stylistic difference as the deployment of one transformation instead of another. In so far as all transformational grammars are rule-based grammars, with the notion of rule occupying a central place in the writing of grammars, style-analyses within the framework of transformational grammar are likely to be studies of style as choices of alternative abstract structures rather than of concrete lexical synonyms. Neither in itself, in isolation from the other, can present a complete account for our intuitive perception of stylistic differences. Transformations, by definition, are formal operations on abstract strings or elements, not a substitution of one lexical formative for another synonymous one. If, for the moment, one forgets about the transformational apparatus as a set of hypothetical alternatives all that Ohmann is proposing is a Zellig Harris-type string analysis of sentence structures. The available

transformational alternatives are simply potential sentences or sentence structures. At the very outset Ohmann starts off by arguing that the notion of style calls for "different ways of expressing the same content." The notion of alternative phrasings is an insightful one, but one must be clear whether what is intended is a description of an actual style or a comparison of potential ones. Ohmann appears to suggest that the transformational approach to style is valid because it tells the analyst how many different ways of saying the same thing there are, although the text in hand may have been saying the thing in just the one obvious way. Quite a while ago Halliday has, for instance, put much the same idea in a more simple and elegant statement:

> A text is meaningful not only in virtue of what it is but also in virtue of what it might have been. One, perhaps the most relevant, exponent of the "might have been" of a work of literature is another work of literature. Linguistic stylistics is thus essentially a comparative study.[1]

7.2.3 Ohmann's practice in stylistic analysis brings out some of the points discussed above much more clearly than his "theory" does. Ohmann discusses four brief prose extracts--one from each of the following authors: Faulkner (The Bear), Hemingway (Soldier's House), Henry James (The Bench of Desolation), and D.H. Lawrence (Studies in Classic American Literature). In the Faulkner extract (from a single sentence nearly two pages long) Ohmann's attempt is concerned with "reversing the effect of three generalized transformations

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1 M.A.K. Halliday, "The Linguistic Study of Literary Texts," in Essays on the Language of Literature, eds. Seymour Chatman and Samuel R. Levin (Boston: Houghton Mifflin, 1967), p. 218.

plus a few related singulary transformations." Among the generalized transformations he finds Faulkner's style heavily relying on mainly the following three 1. Relative clause transformation; 2. Conjunction transformation, and 3. Comparative transformation. By reversing the operations of these transformations Ohmann produces a reduced or simplified version of the extract in kernel or near-kernel sentences. Ohmann's contention is that "the content of the passage remains roughly the same."

> But the style, obviously, has undergone a revolution. In the reduced form of the passage there are virtually no traces of what we recognize as Faulkner's style... ... This denaturing has been accomplished by reversing the effects of only three generalized transformations, as well as a few related singularly transformations. ... ... In other words, the style of the original passage leans heavily upon a very small amount of grammatical apparatus.[1]

So far so good, but Ohmann goes further in his claims for a transformational analysis of style and contends that

> ... it is reasonable to suppose that a writer whose style is so largely based on just three semantically related transformations demonstrates in that style a certain conceptual orientation, a preferred way of organizing experience.[2]

While accepting Ohmann's professed goal--i.e., the move from formal description of styles to critical and semantic interpretation should be the ultimate goal of stylistics--it is difficult to subscribe to his conclusions. In the first place, the grammatical apparatus is by its nature a fixed and finite set of rules. If in an extract of 11 lines there are three different generalized transformations, and three

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1 Ohmann, "Generative Grammars and the Concept of Literary Style," in Freeman, p. 270.
2 Ibid., p. 271.

different singulary transformations, one wonders what, for Ohmann, would have made a "large" amount of grammatical apparatus. Ohmann's analysis shows that Faulkner has used the following generalized transformations in the extract:

1. the wh-transformations--cf. R.B. Lees, The Grammar of English Nominalizations, T-5 and T-6
2. the transformation which later deletes "which" and "be" to leave post-nominal modifiers--cf. Lees, T-58
3. the transformation which shifts these modifiers to prenominal position--cf. Lees, T-64.

Conjunction transformation as well as comparative or relative clause transformation can be called "additive." But any attempt to deduce insights into preferred ways of organizing experience in terms of the semantic suggestions of the nomenclature of grammatical devices is likely to prove a misleading scent in the midst of formal terminology. Where Ohmann's approach seems to hold promise is in the possibility of working out, in explicit terms, our intuitive perception of an author's style by using very specific and precise transformational operations. It is not necessary to know transformational-grammar to see or feel that Faulkner writes differently from Hemingway. But to state in any explicit terms how their writings differ, one possibility is to analyze them in terms of the transformations they use. A comparison of the transformations applied to generate the text sentences in Faulkner and Hemingway will provide us with a reliable derivational history of their styles in terms of their syntactic structures. In so far as Ohmann asks his reader to keep himself within the confines of the analysis

of the effect on style of particular transformations and groups of transformations he is not asking too much: he is asking the reader to keep to the "natural geometry of language" to explicate and map an author's style in terms of particular rules of the grammar. Thus to Ohmann a transformational rule is a traceable index to style. One describes a text in terms of the rule of the grammar, in terms of the type of transformational rules that have been applied to generate the text sentences. Note, however, that Ohmann does not want us to go into the details of actual operation of the rules or the process of derivation of the text sentences. Ohmann's interest is primarily in the typology of the rules--i.e., generalized, singulary, relativization, nominalization, deletion, addition, etc. Although one gets the initial impression that Ohmann wishes to validate the transformational approach to style in terms of the derivational history of the text sentences, what, in fact, is at the basis of his analysis is a typology of transformational rules and the use of this typology for an aggregate profile of a style. The term "aggregate" may sound wilful, but it is not inappropriate in the context of Ohmann's chosen specimens. Ohmann compares a Faulkner extract with a Hemingway extract, a Henry James extract with a D.H. Lawrence extract. The latter set is made use of in order to demonstrate the stylistic effects of self-embedding and deletion transformations respectively. It is obvious that at this stage Ohmann is not concerned with a comparison of similar styles; he is concerned with a contrast between quite different styles. What happens when the styles being

compared are very similar or when the transformations are the same which generate stylistically different text sentences in two authors? In terms of transformational rule typology a relativization transformation is just a relativization transformation although in their surface realization the two relativizations may have quite different stylistic values.

7.2.4 It will be far from accurate to pin Ohmann down to a rigid theoretical position. Fowler describes stylistics as "a field of uncertain standing."[1] One possible reason for the uncertainty is the transitional nature of most of the statements made by stylisticians such as Ohmann. For instance, in "Generative Grammars and the Concept of Literary Style" (1964) Ohmann's position is comprehensible within the transformational grammar as Chomsky presented it in Syntactic Structures and as R.B. Lees elaborated and supplemented it in The Grammar of English Nominalizations (1960). In 1964 Ohmann was enthusiastic at the prospect of developing a theory of style in terms of transformational alternatives as different stylistic versions of the same proposition. He was not unaware of the fact that style is not all syntax and that imagery, figures of speech, diction and the rest are often quite important. But in "Literature as Sentences," a paper by Ohmann published in January 1966, he writes

> Although I employ the framework of generative grammar and scraps of its terminology, what I have to say should

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1 Roger Fowler, "Preface" to Essays on Style and Language: Linguistic and Critical Approaches to Literary Style (London: Routledge and Kegan Paul, 1966), p.vii.

> not ring in the traditionally educated grammatical ear with outlandish discord.[1]

In a footnote to the word "terminology" Ohmann adds that he has drawn "especially" on Noam Chomsky's Aspects of the Theory of Syntax and Katz and Postal's An Integrated Theory of Linguistic Description. In the scraps of Ohmann's descriptive terminology there is, of course, a noticeable change. The kernel sentences as well as the notion of transformational rule disappears and their place is taken by the notions of surface structure and deep structure. Ohmann's fundamental position has not, however, changed so far, because he continues to believe in "the fundamental role of the sentence." In his attempt to consider literature as sentences Ohmann makes several impressive claims. Without going into all of them one can concentrate, for the present, on a few. For instance, Ohmann writes:

1. the sentence is the domain of grammatical structure--rather like the equation in algebra--and hence the domain of meaning.[2]

2. Interpretation begins with sentences. Whatever complex apprehension the critic develops of the whole work, that understanding arrives mundanely, sentence by sentence.[3]

3. It is at the level of sentences,.... ... ... that the distinction between form and content comes clear and that the intuition of style has its formal equivalent.[4]

Although Ohmann appears to be concerned with establishing a traceable relationship between the intuition of style and its

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1 Richard Ohmann, "Literature as Sentences," in Essays in the Language of Literature, eds. Chatman and Levin, p. 231.
2 Ibid., p. 232.
3 Ibid., p. 232.
4 Ibid., p. 233.

formal equivalents he gives the impression of trying to allure the reader to plunge into cognitive psychology. There is no means of contesting Ohmann's brick-and-mortar view of apprehending the literary style, but there is a logically deceptive cogency in Ohmann's "hence" when he writes "the sentence is the domain of grammatical structure and hence the domain of meaning." In an ad absurdum-version of Ohmann's theory one wonders why one cannot, for example, posit that the critic apprehends a literary text morpheme by morpheme, word by word, phrase by phrase, clause by clause. After all, from morpheme to clause, every grammatical structure has a meaningful status. To claim that "interpretation begins with sentences" is to claim the knowledge of a process about which we do not yet have any reliable data except one's own introspection and everybody else's eye-movements. The primary difficulty about formulations as those of Ohmann is that as formulations they sound potentially attractive but in practice they may turn out to be of little help for the student of literary style. Take for instance the following statement by Ohmann:

> the elusive intuition we have of form and content may turn out to be anchored in a distinction between the surface structures and the deep structures of sentences. If so, syntactic theory will also feed into the theory of style.[1]

This reads as an insightful statement on an extremely intricate area of linguistic structures. But as soon as one pauses to see how Ohmann demonstrates the idea at work, the initial satisfaction recedes into the background and one is

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1 Ohmann, Op.cit., p. 238.

confronted with two sets of labelled brackets--one for the deep structure and the other for the surface structure. Ohmann analyzes an independent clause from Joyce's story "Araby." The clause is given below:

> Gazing up into the darkness I saw myself as a creature driven and derided by vanity

Using the convention of labelled brackets Ohmann gives us the following surface structure of the clause:

$$S(^{Adv}(V+Part^{PP}(P^{NP}(D+N)))^{Nuc}(N^{VP}(V+N^{PP}(P^{NP}(D+N^{Adj}(V+and+V^{PP}(P+N)))))))$$

where each set of brackets encloses the constituent indicated by its subscript label and where S=sentence; Adv=Adverbial; V=verb; Part=Particle; PP=Prepositional Phrase; P=Preposition; NP=Noun Phrase; D=Determiner; N=Noun; Nuc=Nucleus; VP=Verb Phrase; and Adj=Adjectival. In the deep structure, by contrast, the matrix sentence is of the form

$S(NP^{VP}(V+Complement+NP))$ --- I + saw + as a creature + me

in which three following sentences are embedded:

1. $^{S}(NP^{VP}(V+PP))$ --- I + gazed up + into the darkness
2. $^{S}(NP^{VP}(V+NP))$ --- Vanity + drove + the creature
3. $^{S}(NP^{VP}(V+NP))$ --- Vanity + derided + the creature

Since 'vanity' and 'darkness' are derived nouns the embedded sentences 1 to 3 must, in their turn, have the following embeddings 1. (Something) is dark, 2. (Someone) is vain, and 3. (Someone) is vain. What Ohmann wants us to show is that the surface structure of the clause reveals, when compared with the deep structure, the syntactic options and preferences that Joyce used. It is in these options and preferences that the formal equivalent of our intuitive perception of style is

to be sought. But the fact that the Joyce sentence has a matrix sentence of the type NP + VP (V+Complement+NP), in which three different sentences are embedded and three more are embedded in the derived nouns in the embedded sentences, does not seem to reveal much that is not perceptible to the naked eye of the reader uninitiated into the terminology of transformational syntax. Compared with Ohmann's conclusion on the Joyce sentence his machinery is far too elaborate. That the structure of the Joyce sentence is "moderately involved" is obvious, but as a conclusion to Ohmann's elaborate search for the formal equivalent in Joyce's preferred syntactic options, it comes as an unrevealing anti-climax. Joyce might have written the sentence differently, but he did not; but by showing how Joyce might have written one is merely showing the potential while what is expected is the description of the actual, the analysis of what Joyce has actually written. In this sense the set of underlying sentences as well as the ones embedded in these have a limited use in the analysis of style. Where Ohmann's approach seems to need theoretical justification and practical substantiation is in his equation of the sum of the set of underlying sentences with the propositional content of the surface sentence. His dictum that the semantic content of the set of underlying sentences and the semantic content of the surface sentence are the same may not stand a theoretical scrutiny or a practical test. In Aspects of the Theory of Syntax "deep structures" are defined by Chomsky as "structures generated by the base component,"[1] and the base component of a generative grammar

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1 Chomsky, Aspects of the Theory of Syntax, p. 136.

has the branching rules (which define grammatical functions and grammatical relations and determine an "abstract underlying order") and the lexicon (which characterizes the individual properties of particular lexical items that are inserted in specified positions in base phrase-markers). The "structures generated by the base component" of Chomsky's theory are not a set of underlying kernel-type sentences--individually interpretable in semantic terms, as visualized by Ohmann. The structures generated by the base component (i.e., the deep structures) are "a class of T-markers." As far as the basic syntactic relations and lexical semantic features are concerned, these structures have nothing to lose or gain from the transformational component of the grammar. It is the surface organization of these relations and features which are affected by transformations. Ohmann, on this ground, gives two misleading impressions about the nature of the deep structure in a transformational-generative grammar. In the first place, Ohmann sets up a list of separate and individually interpretable "underlying sentences" as the semantic equivalent of one surface sentence of the text. In the second place, he gives the impression that these individually interpretable sentences are the deep structure of the surface text sentence. The organization of the generative grammar, particularly in Aspects of the Theory of Syntax, is clearly laid out, but nowhere is it mentioned that the T-markers, on which transformations operate, are a set of separate, self-contained, semantically interpretable sentences. On the contrary, they are a set of syntactic relations and a set of semantic features, i.e., an abstract

structure or structures. Ohmann gives us the impression that transformations operate on a set of underlying sentences--complete and semantically self-contained, while in the theory of syntax transformations operate on T-markers. A deep structure is neither a string of kernel-type sentences, nor a proposition semantically equivalent to the sum of this string of kernel-type sentences. It is the semantically relevant grammatical relations preserved in any surface organization of these relations. The point is that it is much more abstract than Ohmann appears to be willing to concede. Although Ohmann's theory makes use of the "scraps of terminology" from Aspects of the Theory of Syntax and An Integrated Theory of Linguistic Descriptions his actual practice has not much to add to the repertoire of operations already worked out by him when he was showing the relevance of the theoretical framework of Syntactic Structures to the concept of literary style.

7.3. Transformational Grammars and the Quantitative Differences in Style

7.3.1 Among the students of style Ohmann is not alone in his search for formalizing the methodology of stylistic analysis. Nor is he alone in raising hopes of doing so in terms of one or other models of syntactic description. In their analyses of style, nearly all the linguistically-oriented scholars start off by expressing dissatisfaction with intuitive or impressionistic labels in the description of literary style. There seems to be nothing unusual when Hayes begins "A Study in Prose Style: Edward Gibbon and

Ernest Hemingway," by saying

> The analysis must go beyond the mere tagging of impressionistic labels to prose styles. It is the analyst's job to account for these subjective impressions.[1]

What is unusual is Hayes's effort to "go beyond the mere tagging of impressionistic labels" by accounting for these impressions in terms of transformational analysis and quantify the findings for a comparative description. Hayes believes that transformational-generative grammar is of invaluable aid in accounting for the reader's subjective impressions about style. This is so because the sensitive reader perceives stylistic devices intuitively, and what he perceives intuitively are, in fact, the types of syntactic processes that the author uses. Generative grammars will be of great use here because they provide a deep structural description for each of these syntactic processes. A transformational analysis unravels all the deep layers of structural relations which make a complex surface sentence chosen by author. Therefore, in the analyst's job of accounting for the reader's subjective impressions of style a transformational-generative grammar will be of serviceable aid as a valuable tool. Hayes's primary contention is that "the study of style is a study of complexity of sentences."[2] In order to unravel the complexity of sentences Hayes uses the version of transformational-generative grammar postulated in Chomsky's Syntactic Structures and Lees's The Grammar of English

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1 Curtis W. Hayes, "A Study in Prose Styles: Edward Gibbon and Ernest Hemingway," in Linguistics and Literary Style, ed. Donald C. Freeman (New York: 1970), p. 280.

2 Ibid., p. 281.

Nominalizations. Except for a footnote reference to Aspects of the Theory of Syntax and a couple of casual references to "deep structural description," Hayes's analysis is based mainly on the notion of the complex sentence as a number of constituent sentences embedded on a matrix sentence (principal clause and subordinate clauses of pre-linguistics "traditional" textbook grammars are a close parallel). Hayes defines style in the following words:

> Style may be defined as a characteristic, habitual, and recurrent use of the transformational apparatus of language. Whatever is "characteristic, habitual and recurrent" must be, moreover, amenable to statistical measurement.[1]

This is very close to Ohmann's view of style except for its statistical orientation. Perhaps Hayes is more positively sure of the possibility of defining style in transformational terms than Ohmann was. There are also other obvious differences: Hayes does not bring in the question of form and content, nor does he posit a semantic approximation or equivalence between the proposition of the text or surface sentence and the proposition of the sum of so-called "source sentences." In fact, Hayes is much less preoccupied with the whole question of the propositional content of the sentences under analysis. Like Ohmann, he considers style as choice, not so much between semantically equivalent transformational alternatives, as between different transformational alternatives. This spares Hayes the debate about the ontological status of the surface sentence and the source sentences. While Hayes adopts a matrix-sentence versus constituent-sentence approach to the derivational history of

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1 Hayes, op.cit., pp. 280-281.

the text sentence, Ohmann, with all his semantic anxieties, sets up a set of underlying source sentences without implying a hierarchy between them. Thus, given the following text sentence:

The boy who is wearing the cap is my brother

Hayes would set up the following two source or underlying sentences, the matrix and the constituent:

1. The boy is my brother — Matrix sentence
2. The boy is wearing the cap — Constituent sentence

where Ohmann would have stopped with the contention that the two are semantically equivalent to the text sentence. There is a valid distinction here: although both Ohmann and Hayes are working within the framework of transformational analysis Hayes comes closer to the formalities of the transformational theory than Ohmann appears to do.

7.3.2 The central core of Hayes's paper is a statistical comparison between the types of transformations that Gibbon and Hemingway employ in the two short extracts which Hayes analyzes. To summarize Hayes's statistical statement, given below is a shortened table of his findings:

Attribute	Gibbon	Hemingway
Transformations per sentence	4.3	1.3
Sentences undergone generalized Transformations	98%	60%
Passive	68%	2%
Doublet	68%	8%
Triplet	14%	4%
Quadruplet	3%	0%
Nominalizations	49%	22%
Embedding	64%	20%
Conjoining	68%	32%

The table enables us to measure certain features of Gibbon's and Hemingway's writings in terms of the transformations they

deploy in order to generate the surface sentences. Hayes writes that

> The table indicates what we already knew intuitively, that the styles of Gibbon and Hemingway are different--that the style of Gibbon is "grand," "majestic," "complex," and that the style of Hemingway in comparison is "simple." The importance of the tables, however, is that they offer us an objective measure to "capture" this intuition. In other words, we may use the table to show the reasons behind our intuition.[1]

If we take "the number of transformations per sentence" as an indication of stylistic complexity, Hayes is quite right. But as soon as one pauses to question which types of transformations produce more complex stylistic effects than which other or alternative types of transformations, Hayes's tables are not of much help. The number-of-transformation approach is likely to be productive only where, as in the case of Gibbon and Hemingway, the differences can be measured in terms of gross figures. But in the instances where one has to offer objective statements on finer distinctions in style--i.e., finer than the one between complexity and simplicity, Hayes's approach may not work without some loss of simplicity and elegance of statement. In order to make stylistic differences amenable to statistical measurement, what may be needed are, for instance, a certain set of explicit statements of correlation between, say, a certain type of nominalization transformation and a style-value or effect. It may not be easy to establish such correlation unless these features are foregrounded in a text. This is so because an average text extract makes use of several transformational devices. Sometimes many of these are used in the same sentence so that it

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1 Hayes, op.cit., p. 293.

becomes difficult to isolate which one of the transformations in a Johnson sentence produced the particular stylistic effect. It is, therefore, difficult to guess what difference it would have made had Gibbon's text 58% passive transformations instead of 68%, or 39% nominalization transformations instead of 49%. If these alterations in statistics do not make much difference to an overall statement of differences between the styles of Gibbon and Hemingway, then Curtis Hayes's statement that "the table enables us to make exact descriptions of each author's style"[1] would sound like an overstatement of the case he is pleading. It would, probably, have been more accurate to say that the table summarizes the difference between two styles in terms of the number of different transformational rules the two authors employ. But it appears to be misleading to assume that there is a verifiable one-to-one relationship between a style feature and a transformational rule. The reason is that the surface sentence may have undergone, not one, but a whole cycle of transformational operations. This is where, it seems, one needs a great deal of caution about the validity of statistical measurement in terms of transformational rule-typology. In a cycle of operations, "the traffic rules" (i.e., which transformational rule preceeded which) make an almost immeasurable difference to the final surface output. Therefore, it is not just the number and the type of transformation which make the stylistic difference: the order of their operation will make all the

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1 Hayes, op.cit., p. 294.

difference as well. Hayes counts the rules and their frequencies, but not the order of their operation.

7.3.3 Hayes is making strong claims for the efficacy of a transformational model in stylistic analysis, but he is conscious of the fact that "style exists at all levels, not merely at the syntactic level; and certainly style exists beyond the sentence, say in the realm of imagery."[1] This does not obstruct him from believing that transformational grammar can help distinguish, not only the qualitative differences in style (such as between Gibbon and Hemingway), but also the quantitative differences between two authors writing in similar styles (such as between Samuel Johnson and Gibbon). The styles of Gibbon and Johnson are similar, i.e., they habitually use similar transformations, but they remain intuitively distinct. This time it is this intuitive perception of difference in similarity which Hayes hopes to quantify and measure. To Hayes the intuitive perception of difference between the styles of Johnson and Gibbon is not a perception of quality but of quantity which can be measured in terms of transformational rules. Since hypothetically all stylistic differences can be measured the differences between Johnson and Gibbon can all the more be measured statistically because the differences involved are in the number of transformations employed, not in the type of transformations. Comparing his procedure with that of Ohmann's Hayes writes:

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1 Curtis W. Hayes, "A Study in Prose Styles: Edward Gibbon and Ernest Hemingway," in Linguistics and Literary Style, ed. Donald C. Freeman (New York: 1970), p. 295.

> Unlike Ohmann's procedure, this procedure involved tests of quantity, since, as far as this analysis demonstrated, qualitative differences do not exist between their (Gibbon's and Johnson's) prose styles.[1]

What Hayes meant by qualitative as against quantitative differences in styles is not sufficiently clear, but it seems he is equating quality with types of transformation and quantity with number of transformations. A summary of Gibbon's and Johnson's transformational deployment, as analyzed by Hayes, is given below:

Attribute	Gibbon	Johnson
Transformations per sentence	4.3	5.2
Sentences undergone transformations	98%	99%
Passive sentences	68%	57%
Doublet	68%	48%
Triplet	14%	17%
Quadruplet (number of)	3	2
Nominalizations	49%	60%
Embedding	64%	70%
Total number of embedded sentences	105	156
Percentage of sentences conjoined	68	38

Hayes concludes that each author employs the same grammatical apparatus (transformations). "The two authors, however, use this apparatus in varying quantities." The quantities in question are of three major syntactic attributes:

1. Transformations per sentence (Gibbon 4.3 and Johnson 5.2);
2. Nominalizations (Gibbon 49% and Johnson 60%), and
3. Embedding (Gibbon 105 and Johnson 156). Measuring the stylistic complexity by the number of deep structure sentences per textual sentence, Hayes finds Johnson's style more complex than Gibbon's in spite of overwhelming similarities

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1 Curtis W. Hayes, "A Transformational-Generative Approach to Style: Samuel Johnson and Edward Gibbon," Language and Style, 1,1 (1968), p. 42.

between the two. In one of the attributes (percentage of sentences conjoined) Gibbon is almost twice as much as Johnson. On the basis of these findings Hayes concludes

> Johnson's style is more complex than Gibbon's, while Gibbon's is more symmetrical (as a result of the conjunction transformation).[1]

This conclusion may seem to contradict Hayes's earlier assertion that the two styles differ only in quantitative terms, because difference between a complex and a symmetrical style is perhaps not all a matter of quantity. This merely reinforces the controversial nature of Hayes's distinction between stylistic quality and stylistic quantity. Hayes's work is valuable as a model if the notion of style can be confined to the level of syntax and if syntax is a measure of quantity as well as quality in style. For Hayes's term style the correct substitute is not the literary critic's term style, but "that part of prose style which is dependent on, or reflects, syntactical processes."[2] Hayes is analyzing, not prose style, but only that part of prose style which is dependent on, or reflects, syntactical processes. To confuse one for the other is to confuse part for the whole. Hayes's demonstration is an interesting piece of work, but too fragmentary to be conclusive and too tentative to be assimilable into a theory of quality and quantity in literary style.

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1 Hayes, "A Transformational-Generative Approach to Style: Samuel Johnson and Edward Gibbon," Language and Style, 1,1 (1968), p. 48.
2 Ibid., p. 40.

7.4. Conclusion

7.4.1 The analysis of literary texts in terms of generative grammar began as a side issue in the discussion of problems of grammaticality. It was in connexion with the problem of setting up "degrees of grammaticalness" that Chomsky and Levin brought in sequences such as a grief ago and he danced his did to make their points. Both of them were interested in setting up different procedures of assigning a degree of grammaticality to an arbitrary sequence of formatives. The problem was raised by Hill who sought experimental verification of Chomsky's claims about acceptability. As we saw earlier in this chapter, in the discussion of the problems of acceptability, grammaticality, interpretability, isolated sequences from poetic texts were used by the linguists to illustrate their arguments and make their points. Their focus was on the problems of syntax as such, not on the language use of literary texts. Where these isolated sequences figure they do so only incidentally as items attested in the corpus of the language (as distinct from the made-up sequences). Thus when generative linguists turned to literary texts they did so in search of the corpus which illustrated the problems of syntax. To approach the language of literature in terms of syntactic irregularities or deviations is to approach it with a very limited perspective, but this was how generative linguists happened to approach literary texts. However, in syntax the problems which sparked off the interest in literary material were different from linguist to linguist. Hill, who started it all in the first place, was interested in the problem of

grammaticality as related to acceptability. To him it was a closed set of choice between acceptable and unacceptable poles; so that the problem of grammaticality for Hill was a simple one of choice between categorical "yes" and "no" in the native-speaker response. Chomsky considers this a superficial problem. From the point of view of the generative grammarian a much more interesting and intriguing problem is one of devising a mechanism in the grammar which can assign a degree of grammaticalness to an arbitrary sequence of formatives on the basis of the level of rules it violates in the grammar. Chomsky suggests that this is possible if the grammar is supplemented by a hierarchy of categories. "The more detailed the specification of selectional restrictions the more elaborate will be the stratification of utterances into degrees of grammaticalness." Thus a grief ago is more grammatical than a the ago.

7.4.2 The stratification of utterances into degrees of grammaticalness is the problem which preoccupied generative linguists such as Levin. Both Chomsky and Levin were interested in the methodological aspects of this problem. But Levin claims to have supplied his examples from the corpus of the language as against the arbitrary sequences made up by Chomsky. Secondly, although Levin too is preoccupied with "the stratification of utterances into degrees of grammaticalness" he discusses the problem by drawing upon literary material. In order to tackle the problem, while Chomsky proposed to set up a hierarchy of categories to supplement the grammar, Levin proposes a different procedure--i.e., "to fix the rules of the grammar" in order to generate

the attested sequences and count the number of "unwanted sentences" which the revised rule generates. The less the number of "unwanted sentences" the greater is the degree of grammaticalness. In this respect, a grief ago is more grammatical than he danced his did because the latter violates a rule which causes greater dislocation in the machinery of grammar. From the standpoint of stylistics what is more significant is Levin's claim that the degree of poetic effectiveness is in some way related to the degree of grammaticality so that the more deeply embedded in the grammar is the rule that a sequence violates the less effective it is as a poetic device or innovation. This is exactly the opposite of what Thorne claims. According to Thorne, all good poetry violates deep structure rules while bad poetry tends to violate only surface structure rules. Levin's initial distinction between "the putative sentences" made up by the linguist and the sentences belonging to the corpus of the language is, perhaps, as valid as a criticism he makes of Chomsky. Yet the validity of the distinction is completely lost in the body of Levin's analysis of sequences such as a grief ago and he danced his did. Firstly, Levin treats them in complete isolation from the context of the poem so that the sequences can equally be classified as part of the linguist's metalanguage. Secondly, Levin treats them as types of dysgeneration or dislocation in the grammar, rather than as tokens of utterance belonging to a unit of discourse. Finally, Levin's claim to correlate the degree of poetic effectiveness with the degree of grammaticality seems to be unfounded because poetic effectiveness cannot

be measured by isolating a device from the total context of the poem and by treating it as a problem of syntax.

7.4.3 Generative linguists approach literary material mainly to illustrate how poets and writers violate rules of the grammar. Literary texts interest them only insofar as they deviate from norms of grammatical rules. The interest is commonly shared but the problem each linguist focuses on differs from case to case. Both Levin and Thorne approach poetic texts from the syntactic point of view--as examples of dislocation in the machinery of grammar. Levin considers the two isolated strings from literary texts and discusses them in relation to the phenomenon of dysgeneration. He was, like Chomsky, interested in devising a mechanical procedure of assigning a degree of grammaticality to an arbitrary sequence of formatives. In other words, Levin was interested in the isolated strings as instances of violation of grammatical rules with global consequences. Although working within a similar framework, Thorne, on the other hand, is preoccupied with types of violations of grammatical rules as a problem of local relevance, i.e., as a problem concerned with writing the grammar of a "new language" by examining the sample as if it were a language in itself. Thorne's main arguments for this approach are twofold: although we recognize these deviant sentences as being deviant, it is sometimes also the case that they are felt not to be deviant within the context of the poem: these irregularities are regular in the context of the poem. Secondly, by constructing a grammar of the deviant text(such as the e.e.cummings poem anyone lived in a pretty how town)

it becomes possible "to discover how such a grammar differed from a grammar of English." In other words, it becomes possible to compare the two, not as texts, but as languages. In this sense, the generative approach to poetic texts comes to attain a completest statement so far in Thorne. But like other generativists, Thorne wants to analyze texts in terms of rules of the grammar or more specifically in terms of violations of these rules. At least in this respect all generative approaches converge: they consider literary texts in terms of syntactic deviance. But the question is: is deviance in literary texts confined to syntax alone, as generativists seem to suggest? If the deviations are purposeful, i.e., if the deviations are what Hill calls "distortions"--deliberate in intentionality and local in effect, writing a fresh set of rules for a deviant text like anyone lived in a pretty how town is unlikely to reveal either the intention or the effect of the deviant sample. The point is that literary texts are deviant, not simply as a set of sentences, violating locally rules of the grammar. It is as a form of discourse that literary texts are deviant. As a form of discourse they have many features which are not shared by everyday utterances. In ordinary communication situation if someone asks a question such as "Tell me what is light?" the listener is expected to give a reply. If he does not know what light is he will say so. But if a poet writes, "O say what is that thing called light/ Which I must never enjoy" no one is expected to provide an answer. Besides, the addresser and the addressee on the one hand and the sender and the receiver of the message on the

other, can be quite different sets of people in a literary discourse so that in a pastoral a shepherd (addresser) addresses his mistress (addressee) while the sender (the poet) and the receiver (the reader) are a different set of people. This duality of communicative focus is already a deviant feature of literary discourse. Everyday utterances are made in the context of a communication situation, but literary discourse sets its own context. Within this self-defined context literary texts can operate in several different contexts so that a Henry James novel may be said to create its own context which, in turn, may be a sum of several different physical, social, cultural and psychological contexts. Thus, although with Thorne the generativists have come a long way from Chomsky or Levin who discuss poetry as the grammarian's problem-solving operation, Thorne seems to believe that deviance in literary texts can be discussed as isolated phenomenon in grammatical terms. If these deviations are "violations of rules" they must have been motivated by stylistic, communicative or rhetorical functions they are expected to perform in the context of the whole text, and it is, therefore, difficult to see how this can be solved simply by writing different types of grammar or rules, i.e., different from those of Standard English. This is particularly problematic as there is no correspondence between grammatical and communicative deviance. Because of the dual focus situation in literary texts "one can never be certain that any expression in a literary text is used in a conventional sense."[1] If deviance as communication is one of the

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1 H.G. Widdowson, "On the Deviance of Literary Discourse," Style, 6, 3(Fall 1972), p. 304.

defining properties of literary texts, analyzing them simply in terms of grammatical deviance, i.e., in terms of the violation of specific rules of the grammar is likely to yield data of limited relevance, particularly to those who are concerned with literary texts as communication rather than as formal objects.

7.4.4 Within the theoretical framework of transformational-generative grammar the approach to style, not in terms of violations of the rules of grammar, but in terms of the choice of rules, is favoured by those who adopt the transformational analysis. As we saw earlier in 7.2.1, fundamental to transformational-generative grammars is the notion of rule. While the generativists confine themselves to problems of violation of the deep structure rules (such as strict sub-categorization and selectional restrictions) the transformationalists confine their attention, not to the deep structure rules and to their violation, but to two types of transformational rules which map the output of the deep structure on to the surface, i.e., what Chomsky (1965) calls "grammatical transforms and stylistic reordering." These rules belong to the transformational component of the grammar. The linguists who adopt the transformational perspective approach style as a surface phenomenon dependent upon the choice of a particular set of transformational and/or stylistic reordering rules. In other words, to these linguists style is a matter of choice, not of deep semantic relations, but among surface syntactic organizations which are said to be semantically equivalent alternatives. This view of style is ultimately based on "style as choice" approach.

Different styles are different ways of saying the same content, and grammatical and stylistic reordering transformations enable a writer to choose different surface syntactic organizations of a sentence as alternatives. Transformations can give differential prominence to various components of the surface form. Thus all the three key notions--deep structure, surface structure and transformations are made use of by the transformationalists. However, the limitations of the transformational approach are the limitations of an approach to style in terms of abstract rule matrices or frames. Style in language involves choices, not just along one axis, i.e., the syntagmatic axis, but also along the paradigmatic axis. Style is as much a matter of choice available among rules of the grammar as it is a matter of choice available in the lexicon. In terms of the transformational approach the difference between an active and a passive version of a sentence is just a difference in a rule or rule-type. But between an active and a passive transformation there may be a dozen different choices available in the lexicon for each positional class of a non-structural type. For each lexical word (as against the structural elements like modal verbs or determiners) there may be a number of open choices available--each of which is likely to be stylistically marked. Thus, an approach to style which confines all its attention to the choice of rule frames but ignores lexical choices is likely to be limited by the very fact that the grammar has a small number of fixed choices available.

7.4.5 Ohmann and Hayes both focus their attention on

the choice of rule-type as a stylistic matrix. This may be true where a certain aggregate "stylistic profile" can be abstracted in terms of a limited number of rules deployed. Ohmann's interest is in the typology of styles in terms of the typology of transformational rules. He is mainly concerned with a contrast between <u>different</u> styles. It is Hayes who brings in the statistical apparatus to measure these differences in terms of the number of transformations per sentence. He defines style in terms of "a characteristic, habitual, and recurrent use of the transformational apparatus of language," and he hopes to show how this is "amenable to statistical measurement." By analyzing some text extracts from Gibbon and Hemingway, Hayes attempts to show how our intuitive notions of stylistic complexity and simplicity are amenable to statistical measurement in terms of the deployment of transformations. The number of transformations per sentence may be an indication of stylistic complexity, and the difference between the styles of Gibbon and Hemingway can, perhaps, be measured in terms of gross figures. But in instances where one has to offer objective statements on finer distinctions in style, i.e., finer than the one between complexity and simplicity, Hayes's approach may not work. What might be needed is a certain type of explicit statement of correlation between, say, a type of nominalization transformation and a style-value or effect. An average text makes use of several transformations per sentence. It is not just the number or the type of transformations which makes the stylistic difference: the order of their operation will make all the difference in creating text sentences.

Hayes's attempt to relate the complexity of Johnson's style with the quantity of transformations per sentence, and in particular with nominalizations and embeddings, is the type of correlation which is necessary. But where Hayes seems to establish a misleading correlation is in his attempt to show that the difference between Johnson's complex style and Gibbon's symmetrical style is a quantitative difference. But his work seems to show to what extent style reflects, or depends on, certain syntactic processes. But he is not unaware of the fact that style exists at all levels, not merely at the syntactic level. Insofar as it exists at the syntactic level analyzing texts in terms of grammatical rule typology, in particular in terms of the transformations surface sentences have undergone, seems to show to what extent certain style-features depend upon syntactic processes.

PART III

Pedagogical Section: Synthesis

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Chapter VIII

The Teaching of Literature: An Approach

8.0. Introduction

8.0.1 In several parts of the world the problems of English teaching are vitiated by a radical uncertainty as to its pedagogical aims. Part of this uncertainty originates in the inability of decision-makers to achieve a clear perspective on the past history and the present needs--keeping the two apart, so that now English teaching has become a multiply ambiguous activity in pedagogical terms. For instance, when one talks about English teaching in the context of the Indian sub-continent it is difficult to decide whether the issues being debated relate to 1) English as a communication need, i.e., as a medium of instruction, a lingua franca, a second language, a "library" language, a language of international communication, or 2) English as an academic-scholarly specialization. The confusion is deep-rooted but not unrelated with a gamut of issues--the teaching of English literature being one of the obvious ones. The confusion is partly a legacy of colonial history. In the Indian sub-continent, at least, the whole concept of 'English' education--not just English teaching--was intimately bound up with an expressed belief in the value of English literature. This belief was transplanted wholesale together with several British practices in India. The influence of the early nineteenth-century British practice had been extensive, and it continued to remain so through two agencies: British examinations taken overseas (with a preponderantly literary English syllabus) and British-trained teachers and inspectors. They believed that what was right for Britain in the nineteenth century for the native-

speaker situation, would also be valuable overseas in the second or foreign-language situation. Thus in several countries of the Commonwealth echoes of the past dogma are continuously audible in one form or another. The social and political changes in the world after the World War II as well as changes in the approaches to teaching of English to foreign students, have made a close scrutiny of pedagogy of English teaching an urgent necessity in these areas of the world. Until recent past "English Studies" meant nothing more than either Anglo-Saxon/Middle English option or English literary studies. This is particularly true of the English studies in the colleges and universities of the Indian sub-continent. But since the 1950s the English studies in this part of the world have been in a state of ferment. For one thing, there is an increasing infusion of new ideas and methods—mostly derived from current developments in linguistics. Every year more and more British-American and other English-speaking expatriates as well as native experts, trained in diverse schools of language teaching methodology, are entering the schools, colleges and university departments where, in the face of severe academic, administrative and financial limitations, painful efforts are continuously being made to switch over from the established traditional methods to recent language teaching techniques.

8.0.2 A distinct impact of the recent upheaval in the schools is to compel the educational decision-makers to re-consider the <u>aims</u> and <u>methods</u> as well as the rationale of English studies in general and of the English literary studies in the colleges and universities in particular.

That the problem is more than local is obvious from the King's College, Cambridge Conference (July 16-18, 1962).[1] In this conference what is of interest to us is a general air of uncertainty as to the definition of aims and rationale of teaching English literature overseas, the uncertainty that noticeably hung round the gathering of the experts from all over the world. As one of the participants put it

> Too often the intrinsic value of studying English literature is taken for granted; aims become clouded because they are seldom questioned. Relevant questioning might produce better teaching as well as a clearer purpose.[2]

English literature has been taught overseas for well over a century, and if the intrinsic value of studying it is ever questioned it is only to offer some glib and vague answer. However, far-reaching changes taking place in the developing countries of Asia and Africa as well as the search for a rationale in the Humanistic and literary studies in the West itself, have made the teaching of English literature a questionable enterprise. It is of profound significance to us that on the one hand, the countries of cultural 'metropolis' in the West are on their own facing increasing criticism of the literary studies from quite different quarters (the practising academics, the drop-outs proposing 'counter-courses', the radicals exposing the 'politics of literature'), the peripheral overseas centres of these

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1 John Press, ed., The Teaching of English Literature Overseas (London: Methuen, 1963).

2 G.E. Perren, "Teaching English Literature Overseas: Historical Notes and present Instances," in Press, op. cit., p. 18.

literary studies are, on the other hand, facing criticism of the literary studies either as a "transplanted" discipline or as a "linguistically unrealistic" one. The point at issue is, however, the same, i.e., the rationale of teaching literature.

8.1. The Teaching of English Literature in FL Situation: Rationale

8.1.1 The question is why teach English literature? The Cambridge Conference devoted a whole session to this question. This is symptomatic of the changing and debatable status of English literature as a pedagogic subject overseas. In their search for a rationale, however, the experts were divided, but most tilted heavily to the traditional non-functional rationale. The tone and approach characteristic of the liberal-humanistic apologists is nowhere more in evidence than in Holloway's paper, "Aspects of the Study of English Literature in Afro-Asian Countries," where he writes:

> Needless to say, students of English literature, wherever they are, can be expected to draw from their studies the benefits of 'English' as a broad, flexible, and liberal discipline, concerned with a literature which is not clearly excelled by any other, either in quality or in continuity over a long period of time... ... ... There is no systematic study of literature which does not foster many qualities of mind--judgment (both intellectual and moral); cogency and flexibility of mind; maturity of understanding; and a sense of evidence, of detail, and of history being among them.[1]

Holloway's is a typical, in some sense complacent, formulation of the "liberal humanistic" rationale. The list of 'benefits' can be re-phrased, the order changed but the assumptions have

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1 John Holloway, "Aspects of the Study of English literature in Afro-Asian Countries," in Press, op.cit., pp.20-21.

nearly always remained the same. In other words, we teach English literature, no matter in what linguistic, social or cultural context, as a training in sensibility, as an education of the mind. The liberal humanist's position is based on the understanding that 1) the appeal of all great literature is universal, and 2) that all great literature is universally accessible. Such an assumption has been the basis of all the classics-based liberal education in the West at least since the Renaissance. This was partly due to the stranglehold of Greek and Latin in education as 'models' of perfection in literary and rhetorical arts. In many parts of the Commonwealth, English literature has served a similar function. Johnson admonished his aspiring contemporaries to "devote day and night to the study of Addison's prose" if they wished to cultivate a polite style. More or less in the same vein, the English learners overseas are offered English prose writers from Malory and the Authorized Version Bible to R.L. Stevenson as models of stylistic achievement. In the last forty years the name which is most commonly associated with a belief in the moral efficacy of English literary studies is not that of Holloway but that of Leavis. His claims about the 'centrality' of the English literary studies in any scheme of liberal-humanist education have been the most articulate ones since the 1930s. Since it is Dr. Leavis, more than any single figure since the founding of English Honours schools in London (1829), Oxford (1893) and Cambridge (1917), who advocated their centrality, his version of the liberal-humanist rationale deserves a hearing:

> The essential discipline of an English School is the literary-critical; it is a true discipline, only in an English school if anywhere will it be fostered, and it is irreplaceable. It trains, in a way no other discipline can, intelligence and sensibility together, cultivating sensitiveness and precision of response and a delicate integrity of intelligence---intelligence that integrates as well as analyzes and must have pertinacity and staying power as well as delicacy... ... There is no need to add at the moment, by way of indicating the inherent educational possibilities of the literary-critical discipline, than that it can, in its peculiar preoccupation with the concrete, provide an incomparably inward and subtle initiation into the nature and significance of tradition.[1]

Here Leavis does not appear to be concerned in the least about the context in which the English School would find itself congenial: what seems symptomatic is the abandonment with which he formulates the educational possibilities of an English school. In this sense, Leavis's English School is much more a vision than a pedagogical programme, and an ideal Leavisite English School would be a gathering of budding Leavisite critics working under the same roof, and if they are not all English they would at least be British. It is when such characteristic pleadings for the teaching of English literature are absorbed and adopted by the students and disciples of Leavis in the schools, colleges and universities overseas that a confusion of pedagogical aims and perspectives takes place. Although Holloway, for instance, wilfully uses the parenthetical expression "wherever they are" to qualify "students of English literature" Leavis does not even do that, so that his educational potentialities are of doubtful relevance to overseas and non-native students of English literature. The fundamental

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1 F.R. Leavis, Education and the University (London: Chatto & Windus, 1943), pp. 34-35.

weakness in the liberal-humanist rationale for teaching English literature overseas is that it fails to distinguish the gulf that separates the native-speakers of English language from the non-native speakers of English. The differences are at times staggering in social, cultural, psychological and linguistic implications but the point remains: for all the non-natives, for all the overseas students English literature is a literature written in a foreign or a second language. Even in countries where it is in use as a second language, familiarity with the language is merely a familiarity with the surface--the grammar and the lexicon. Literature is always deeply culture-bound. The literary works assume a readership with certain social and cultural presuppositions. The accessibility of such works in linguistic terms is no surety that they will be socially or culturally or psychologically accessible. This is true not only of the literary output of historically distant periods but also, in fact more so, of contemporary works of literature. The universalist position of the liberal-humanist (such as Leavis or Holloway) does not hold much water as soon one begins to realize that teaching English literature to the British students in Britain may result in the attainment of one and all of the values that Holloway lists, but to the non-native speakers of English, English literature, its ancient and modern classics, are multiply inaccessible because of several wide cross-cultural gaps. The moral-aesthetic values of teaching English literature are likely to be attained only if these cross-cultural gaps can be filled up by different teaching techniques.

English literature is one thing to the English; it is a quite different experience to a young man from an Indian village or an African peasant. The universalist position of the liberal humanist (much as Leavis or Holloway) cannot answer why it has to be English literature: any literature, all literature, is ennobling, and there is no reason why a systematic study of French or Russian, or Chinese or Indian classical or vernacular literature cannot inculcate similar values in the students. Pedagogically, if the objectives are cultivation of such liberal values, it is much more sound and realistic to teach one's own classical and vernacular literature than to teach a literature whose social and cultural content is not easily grasped. Teaching one's own classical or vernacular literature has at least one great advantage: the social and cultural presuppositions are within the student's grasp though some of it may already have been fossilized through history. Similarly, Chinua Achebe or R.K. Narayan is likely to be more accessible to a Nigerian or an Indian student than John Galsworthy or Graham Greene. In his assertion of the universality of appeal what the English liberal-humanist is so often likely to forget is the particularity of details of his society and culture which he can, of course, afford to take for granted, but which are often an insurmountable barrier for an outsider and the uninitiated. The penumbra of social and cultural meanings is so vividly a part of the meaning of a literary work that to be really able to appreciate some of these works one needs to have a considerable ability to identify with the writer's society and culture and see the

world through his eyes.

8.1.2 The discussion above clearly shows that a search for a functional rationale of teaching English literature overseas is overdue--a rationale which could supplement if not replace the traditional liberal-humanist one. Without denying the value of literature in the moral-aesthetic education of the students, the traditional pedagogic aims have, in part, accepted English literature as a model of perfection and hence of production. Although even the most entrenched of traditionalists would not suggest that the literature student should write like Milton or Sir Thomas Browne, at least it is assumed that writers should be 'models' of stylistic polish, refinement and perfection. Some "set" texts are a required reading because of this functional orientation while others are there simply because they are the "classics" of the language. The line dividing the two is not always easy to draw, but that does not mean that the line does not exist. Whenever the literary works (mostly prose) are held up as models of production, perhaps, the expressive and rhetorical functions of language are in greater prominence than its ordinary everyday communicative functions. Consequently, it is not always easy to say if the purpose, the pedagogical aim of the literary education, expressed in explicit functional terms, are not to produce writers and critics in English. Even in British or American society such an approach to the teaching of literature has its limits. A system of education in which the teaching of literature is to produce more poets and writers, comes sooner or later under social suspicion in any society. In a non-

native context such an aim is at once indefensible and out of place because in a society where there are few readers who can read (let alone read English) producing writers and poets in English cannot be an educational aim.

8.1.3 A number of alternative definitions of the functional rationale have been formulated, and some have found an articulate ventilation in the King's College Cambridge Conference, for instance. One such definition is that the study and teaching of English literature overseas has almost always had a direct impact on the modernization of local vernacular literatures. For instance, prior to their contact with English literature the only models available for the writers in the Indian subcontinent were either the writers in classical Sanskrit or in Persian and Arabic. The contact with English has been most rewarding for the Indian vernacular literatures, because the contact was not only with English literature, it was also an encounter through English with the Western literary tradition as a whole. The reason why today Bengali has a much more sophisticated literary writing than any other Indian vernacular is largely due to the earliest contacts of the Bengali intelligentsia with English literature. Equally important is the role of the products of English literary education in providing the recruits to an elite in the developing countries of Asia and Africa--the elite who have acquired a richer perspective on their own society, culture and literature because of their study of English literature. Dr. F.R. Leavis was quite right when he claimed that "one of the virtues of literary studies is that they lead constantly outside themselves."[1]

1 F.R. Leavis, Education and the University (London: 1943), p. 36.

Many of the products of the literary education in English switch over to several different fields in their societies, and they have been, more often than not, able to bring to these fields some fresh perspective acquired through their knowledge and familiarity with a different literature, society or culture. In many instances, "perspective" is an ability to compare and place, and an ability to correlate different elements in an acceptable order. This, in some sense, is precisely what the teaching of English literature gives to the students. In this respect, the fact that English literature is so different from anything they would be familiar with in a local language appears to be an invaluable asset. Here Lord Macaulay's Minute on Indian Education (dated February 2, 1835) was prophetic:

> To this class ("a class of persons Indian in blood and colour, but English in tastes, in opinions, in morals and in intellect") we may leave it to refine the vernacular dialects of the country, to enrich those dialects with terms of science borrowed from the Western nomenclature, and to render them by degrees fit vehicles for conveying knowledge to the great mass of the population.[1]

This class of persons has also gained a valuable insight into the evolution of a modernized society and civilization. In so far as modernization and transformation of their own traditional societies is the professed aim of the decision-makers, this insight, again, can be an asset of enormous potentiality. The study of English literature is also a study of the structure, conditions and values of a modernized western society. It is not just an initiation into an

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1 Quoted by Julian Dakin in Dakin, Tiffen and Widdowson, Language in Education (London: Oxford University Press, 1968), p. 7.

unfamiliar cultural tradition and its continuity; more positively, it is also a response to a modern western community--one way of getting to know it. English literature may be said to provide a unique opportunity to encounter the evolution of a civilization because getting to know one is getting to know the other: Shakespeare is to the Elizabethan Court what Dickens is to the poverty of the lower middle classes in England. We cannot study or teach one without teaching the other. In a sense, literature is an expression of a society in totality--all that is peculiarly characteristic of a particular community--its organization, institutions, laws, customs, work, play, art, religion and so on. Such a comprehensive insight into a different culture and society can be of incomparable value to the students in traditional Asian or African societies, because through this insight one can make a greater sense of the culture and society where one actually belongs. It can give one comprehensive insight into one's own culture. In the cultivation of a sense of belonging the study of English literature is like a two-pronged alley-way: the dangers are, of course, always there. Among others Gokak, in his paper at the King's College Conference, Cambridge, phrases the whole problem in irreproachable terms:

> But there is also the likelihood that (the students of English literature) may come under the spell of 'La belle Dame sans merci' and be held in her thraldom for ever. The contrast between their own society and the social evolution presented in English literature is so great that they may be tempted to give up their attempt to transform their society and to inaugurate their own literary traditions. They may surrender utterly to a kind of colonialism in their intellectual and aesthetic life in spite of their political emancipation. In

> that case they will be a lost generation, like the Indians in the fifties of the last century, who thought that they lived in a desert; read Shakespeare, Milton, Wordsworth, Arnold; dreamed of London, Oxford or Cambridge; and remembered with avidity every detail in the topography of Thyrsis and The Scholar Gipsy, but not the landscape pictured in Kalidasa's Meghaduta or the name of the sage who educated Rama and his brothers.[1]

The readiness of many members of developing societies in the present decades to despise their own traditions in the pursuit of Europeanization, shows that the teaching of English literature can, in many ways, deracinate and alienate young men from their own society and culture. Instead of promoting a sense of belonging (which is what education should do), instead of providing what Leavis, for instance, says a literary training does (i.e., provide an incomparably inward and subtle initiation into the nature and significance of tradition), in the context of an overseas community such a training might be producing an exactly opposite result--i.e., uproot the youth from their places, peoples, institutions and values with nothing to offer in return as an alternative. The dangers of producing a class of literary prodigal sons who cannot return home psychologically or intellectually, are more real in the case of the teaching of English literature than in the case of teaching any other single discipline.

8.2. English Literature: The Applied Linguist's Point of View

8.2.1 Halliday, McIntosh and Strevens, in their Linguistic Sciences and Language Teaching, sum up briefly the two main trends in English teaching in the following words:

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1 V.K. Gokak, "Definitions and Aims," in John Press, op.cit., p. 28.

> the first change was to pay more attention to language, and especially to the spoken language; the second change is towards more attention to Linguistics.[1]

An immediate impact of both has been to separate the teaching of practical ability in a language from teaching the understanding and appreciation of literature written in that language. These are now considered two separate and distinct tasks with obvious different pedagogic aims. In the words of Halliday et al. again,

> The essence of the matter is that there are two separate and distinct tasks here... ... In our view the primary task of language teaching is to impart practical command of the four basic skills of language for use in the widest possible range of different situations.[2]

The criterion of practical ability in a foreign language that the applied linguist sets is not whether a learner can read a play or a novel in the language and write an essay about it. The criteria of practical ability are 1) whether he can understand the foreign language as spoken by a native speaker in a real life situation; 2) whether he can make himself understood in such a situation; 3) whether he can read material of everyday importance, such as a newspaper or a customs declaration form, and 4) whether he can write acceptably on subjects relevant to life outside the classroom. In this sense, the applied linguist sets up "the real life situation or life outside the classroom" as a kind of primary test of practical ability in a foreign language. The reason or reasons why he rejects literature, at least in the early stages of a teaching programme, are that literary works in

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1 Halliday, McIntosh and Strevens, The Linguistic Sciences and Language Teaching (London: Longmans, 1964), p. 185.
2 Halliday et al., Ibid., p. 257.

English are not written with a specific purpose of teaching English to the foreign students. On the contrary, these works assume the presence of a readership which is native to the language and which is linguistically as well as culturally and socially sophisticated. The novels of Aldous Huxley, E.M. Forster, the plays of Shaw, Synge, Fry and Pinter were not written as textbooks in English for foreigners. The fact that some countries use them as textbooks in English teaching is perhaps an unforeseeable part of the authors' design. Halliday et al's arguments against using literary works or texts in the teaching of language (particularly in practical teaching of language) are straightforward: literature is written language. What ought to be taught, in the first place, are listening and speaking, not reading and writing. Linguistics, particularly psycholinguistics, provides us with both ontogenetic and phylogenetic evidence of the primacy of speech over writing. Writing is only a transference of speech into another medium. Besides, writing is only an imperfect way of transcribing speech, because no alphabet succeeds in transcribing all the relevant and discrete features of spoken language.

8.2.2 Literary English is an unreliable model for foreign learners because in literary works no principles of language teaching is adopted. There is no such thing as a work of literature written by adopting the principles of gradation and selection. Structures (grammar) and vocabulary (lexis) in literary works are neither selected nor graded as a matter of principle. On the contrary, writers and poets--

as innovators of the language--would accept no limitations to their personal style, vision, preferences and so on. In fact, learning the literary English at pre-university stages is fraught with all kinds of dangers. For one thing, literary English can be highly mannered, stylized, 'foregrounded' and deviant. Different registers and varieties are often mixed because as a form of communication literary English is not constrained by any norms of usage or acceptability. In normal communication situation, while the formal style is not mixed with a colloquial one, in literary English all forms can co-exist because literature sets its own context. As a form of communication literature is deviant. Literary communication does not presuppose any normal communication situation such as the existence of an addresser and an addressee or the sender and the receiver of a message. Consequently, it makes use of many unusual forms of language such as rhyme, alliteration, typographical devices, and much of literary writings make use of syntactically and semantically deviant features. If the foreign learners are prematurely and indiscriminately exposed to these writings they may find no way of deciding their appropriateness in the real-life situations. Neither the grammar nor the dictionary-entries they have learnt will tell them that certain collocations which are appropriate in literary writing are, if used outside the literary context, at best odd and jocular. Another consequence of saturated exposure to literary language is best illustrated by an example which William Francis Mackey cites in his encyclopaediac book Language Teaching Analysis:

> The well-known French writer, Andre Gide, for example, who had a wide knowledge of the English literary vocabulary, as shown by his excellent translations of Shakespeare and Conrad, was quite unable, according to his friend Julian Green, to ask a London bus driver where to get off.[1]

The danger of exposing foreign students to literary vocabulary is that, like Andre Gide, they may be excellent students of Shakespeare and Conrad, but quite unable to make use of the language for normal, real-life, everyday communication, such as asking a bus driver where to get off. Because of its deviant nature as a form of discourse the literary English does not give the learner any idea about the appropriateness of linguistic choices in a real-life context of situation. As variety and repertoire differentiation is one of the most intricate practical language abilities for a non-native speaker to acquire, literery English is likely to create more problems for the learner than help him learn the language that is of normal communicative use. Applied linguists (such as Halliday et al.) reject literature as pedagogically unsuitable language teaching material, not only because of its linguistic features, but also because of its psychological or cultural inaccessibility. The social and cultural meanings are so inextricably mixed with the linguistic ones in a work of literature that one must be some kind of a patient social historian or anthropologist to be able to untangle all the layers of meanings. This is true of works which are distant in time as well as of those which are contemporary. The social presuppositions behind the works of Jane Austen are as complex as the cultural presuppositions behind the works

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1 W.F. Mackey, Language Teaching Analysis (London: Longmans, 1965), p. 161.

of Forster, Lawrence or Snow. In a country such as India, Nepal or China where, say, 'rapid industrialization' and 'catching up with the West' are set up as the highest economic ideal, many students will be baffled to read Lawrence's primitivism and celebration of the body as a protest against an industrialized civilization. Moreover, as Robert Lado writes in his Language Teaching: A Scientific Approach:

> Fullest appreciation (of a foreign literature) comes through adopting the point of view of the target culture itself rather than that of an outsider looking in.[1]

It is not just a matter of studying their history, geography or social and political institutions: it is also a matter of understanding their psychology, their responses, their music, their humour, their daily living, their sports, and their holidays. Where the upbringing of the students have had a marked religious orientation such cross-cultural barriers are not so easy to get over as "scientifically" minded linguists seem to think. In so far as value-judgements are involved in the study of literature it may be very difficult, perhaps impossible, for foreign language learners to see things as they would be seen by native speakers. This is so because value-judgements often involve very intimate elements of a particular culture, and depend a great deal on the ability to make a number of comparisons within it.

8.3. The Problems of Defining the Place of Literature in a Curriculum

8.3.1 The problem of defining the place of literature in a curriculum overseas is, on the whole, an involved one.

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1 Robert Lado, Language Teaching: A Scientific Approach (Bombay: 1964), p. 155.

The initial attitude of applied linguists has been of derision, if not of outright rejection of a literature-based course. As a substitute for such a course they advocate a linguistically-oriented course which is based on one or other of description of the language. The availability of several versions of the description as well as the existence of numerous linguistically-oriented courses makes the problem much more complex. The choice is wide but not necessarily easy to make. But all or nearly all linguistically-oriented courses of English teaching to foreign students seem to converge on one point: they reject English literature as unsuitable teaching material for foreign students. Most of these courses are freshly written and prepared according to some pedagogic programme or syllabus which accepts selection, gradation, and presentation as the three inviolable principles of language courses. No courses prepared for primary, lower secondary or even secondary levels will have any literature. Even in the courses prepared for pre-university students the emphasis, in recent years, has been on exposing students to 'situational English' or English differentiated according to 'variety' and 'register'— such as English for special purposes. In other words, the applied linguist sees to it that English literature is, for all intents and purposes, effectively shut out of English language courses---concentrating all pedagogic attention on language skills, on structural drills, language exercises, points of usage and situational or register variations. Viewed from one angle this is a positive step in a right direction, but the rejection of literature is essentially a negative step

in that the new courses do not seem to find literature worth anything except rejection.

8.3.2 In recent years, however, literature is again receiving some positive attention from the linguists as well as the applied linguists. The change in the applied linguist's attitude is partly due to an increased interest in literary texts shown by the linguists themselves. But it is mainly due to realization that literature has pedagogic potentialities even in a purely language curriculum. The work of linguists such as Halliday and Sinclair have successfully shown that language and literature are a continuum made of common code elements, and that where literature differs from everyday use of the code is in its textual patterns. Literature always has had one positive advantage over all other language teaching materials: it is interesting. It does not operate in an interest vacuum. It makes language learning a bearable proposition. The applied linguist's initial negative attitude to literature is typified, for example, by the following statement by Peter Strevens, who defines the new aims of language teaching in no unequivocal terms:

> The teaching of foreign language is seen as imparting practical language ability, as the inculcating of skills, as the teaching of 'behaviour in foreign language situations.'... ... It means acquiring habits of language behaviour and learning to use without conscious thought the four basic language skills: understanding speech, speaking, reading and writing... ... It is with this major area of 'ordinary' language, rather than with the specialized beauties and values of literature, that modern methods of language teaching are concerned.[1]
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> (My emphasis)

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1 Peter Strevens, "Linguistic Research and Language Teaching," in Papers in Language and Language Teaching (London: OUP, 1965), p. 12.

That this is an established set of beliefs among the applied linguists in the early 1960s is evident from another statement from a standard British textbook in applied linguistics. Surveying 'the two main trends' in foreign language teaching in the past fifteen years (as from 1964) Halliday et al. write:

> Two main trends can be discerned... ...The first is the realization that the teaching of literature to learners for whom English is a secondary language is necessarily a separate job from the teaching of language, and to maintain this implies no denial of the value of or importance of literature.[1]

It is noteworthy that Halliday, McIntosh and Strevens posit not only a clear distinction between the teaching of language and the teaching of literature; they also posit a priority without, of course, denying the value of literature. "The solution," they write, "is not to exclude literary studies, but to ensure that no student is pushed into literary work until he has sufficient linguistic ability to understand, enjoy and appreciate the literary texts that he will be studying."[2] Without denying the value of literary studies what Halliday et al. have, in practice, to suggest is an exclusion of literature from the language syllabus which has created what they go on, in a later section of the book, to describe as "this cleft, artificially widened and deepened as it has been, between language and literature in the English teaching programme."[3] Applied linguists have, in recent years, come a long way from these characteristic

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1 Halliday et al., op.cit., p. 183.
2 Ibid., p. 185.
3 Ibid., p. 250.

attitudes to literary studies: attitudes of exclusion and rejection, of setting up mere priorities (i.e., language before literature). From the negative questions the language teaching experts are now concentrating on the positive ones. It is symptomatic that the London University Communication Research Centre, in the series of papers on Programme in Linguistics and Language Teaching, devotes one of its early papers to Linguistics and the Teaching of Literature (London: Longmans, 1968). What is much more promising is that Doughty, the author of the monograph, begins his enquiry with an interesting statement:

> there is no belittlement of the value of literature for work in English concealed within a linguistic approach to the teaching of English. The question at issue is not whether to use literature--an absurd question once formulated--but what part it should play, how best to use it, and what contribution linguistic studies could make at this stage... ... Certainly many teachers of English are sure that exposure to literature does give their pupils increased command of their language.[1] (My emphasis)

That by 1968 an applied linguist, such as P.S. Doughty, should think "the question at issue is not whether to use literature--an absurd question once formulated" is indicative of a changing perspective on literature. However there is a considerable degree of ambivalence when applied linguists talk about the place of literature in the curriculum these days. Thus, whereas in the past decade the major arguments used to be about the inappropriateness of literature and the inaccessibility of literary works as teaching materials, the argument in recent years has been for the integration of language

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1 P.S. Doughty, Linguistics and the Teaching of Literature (London: 1968), p.n.32-33.

and literature. For instance, Sinclair in a paper entitled, "The Integration of Language and Literature in the English Curriculum," begins by saying

> In this paper I want to argue
> 1) that the notion of "command of a language" involves linguistic and literary considerations, techniques, theories which are interwoven in an inextricable fashion.
> 2) that the teaching of command of a language, and the preparation of teachers to teach it, cannot be adequately informed by separate development of the accepted approaches of language and literature, but only by integration.[1]

There are, perhaps, a number of reasons, linguistic as well as pedagogic, for the growing recognition of the teaching potentialities of literature. First, there is a limit to which one could take a linguistically-oriented language teaching course. No matter which theory of linguistic description is chosen, no matter which method of teaching is adopted, after a few initial years a stage comes in the language teaching when 'structural drills,' or 'substitutional tables,' 'programmed instruction,' etc. will have to give in to the teaching of, not just sentences but communication, i.e., teaching the use of sentences and patterns in order to communicate ideas as well as to express feelings etc. Secondly, after a certain stage the learner cannot go far into the target language without facing differences in cultural meanings because meanings expressed in a language are largely culturally determined. This involves knowledge of specific facts concerning the culture and values of the people who speak the target language. The analogy between

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1 John McH. Sinclair, "The Integration of Language and Literature in the English Curriculum," Educational Review, Vol. 23, No. 3, June 1971, p. 220. Special Issue on The Context of Situation.

language skills and other skills (such as typing, swimming or driving) is, therefore, valid only to a very limited extent. To talk of language exclusively as a 'tool' is to assume that one can internalize the structure of a language without passing through the basic cultural content of the language. Apart from being bad pedagogy, teaching language without teaching communication or expressive value of language is bringing together all the means to no foreseeable end. There is, therefore, some sound ground for looking to literature as a potentially resourceful area. The point, however, is, as Doughty puts it, how best to use it.

8.3.3 In the proposal to make use of literature one uncertainty is as to the nature of the curriculum itself in which literature is to be used. For example, in the whole of an 86-page monograph on linguistics and the teaching of literature nowhere does Doughty mention whether he was talking of literature as a part of language syllabus or literature as a part of literature syllabus. Literature in the literature syllabus is a different pedagogical problem from literature in a language syllabus. Because in one case we are concerned with the students who are intending to specialize in the literary studies while in the other case we are concerned with the students of English who may, under an integrated language-literature teaching programme, be profitably exposed to literature as a means of fortifying their command of English, for instance. This is in no way a revivalist proposition to perpetuate what Halliday et al. call "this cleft, artificially widened and deepened, between language and literature in the English teaching programme." English literature as an academic specialization overseas is on the same footing as the Tibetan Studies in Britain or

Oriental Studies in Europe and the United States. It is a concern of a small, specialized, perhaps, dedicated band of specialists and scholars, and it should be considered and evaluated by different standards altogether. What we are concerned with is not this field of specialization of English literary studies, but English literature as a teaching subject, to be more precise, English literature in the schools, colleges and teacher-training institutes. Wherever or whenever English literature is considered a part of direct teaching programme, rather than one of narrow and sophisticated specialization the issues we have been discussing in this section have direct relevance. This brings most of the pedagogic questions to the surface. If we can, thus, confine ourselves entirely to a consideration of the place of literature as a part of language teaching curriculum we can, unlike Doughty and other applied linguists, settle down to scan some <u>specific</u> problems that arise immediately. For example, we cannot think of a language teaching programme or a programme for an integrated teaching of language and literature without defining the composition of the target population we have in mind. In fact, most of the pleas for integration of language and literature teaching seem to take the target population and its composition for granted. Alex Rodger,[1] for instance, begins his paper "Linguistics and the Teaching of Literature," with a whole paragraph of questions which begins with, "What is the use of linguistics in the literature class?" One of

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1 Alex Rodger, "Linguistics and the Teaching of Literature," in <u>Applied Linguistics and the Teaching of English</u>, ed. Fraser and O'Donnell (London: Longmans, 1969), p. 88.

the questions he does not care to ask is: Who populates the literature class? It is, indeed, anomalous that the applied linguists who are pleading for the integrated teaching do not care to define what kind of students they have in mind. Among other things, some of the crucial factors such as their average age, the level of their language proficiency, their grade in the local educational structure, and above all the specific purpose, if they have any, of learning the target language--all will have to be considered in devising an integrated teaching programme. Any programme that ignores these factors ignores some of the most widely accepted principles of language teaching. Assuming that the proposal happens to take all the above factors into consideration there is still the pedagogically debatable question: when does a learner have enough English for exposure to literature? It involves, above all, the question of language proficiency--range, fluency, correctness as well as appropriateness of structures and vocabulary that the learner has achieved. It is one of those questions from which one would shy away and evade, because while it is possible to answer it in negative terms, i.e., one cannot teach literature to the illiterate, it is difficult to draw a linguistic line of demarkation as to who is acceptable as literate (i.e., in the sense that he is able to read literature). The difficulties of defining literacy in a foreign language in the above sense are many because literature itself covers a diverse linguistic and cultural terrain--ranging from simple fables and songs

that exist in almost every culture, to most sophisticated forms and culture-bound works. In this sense, the question "When does a learner have enough English for exposure to English literature?" is an unanswerable one without finding out "Who is the learner?" and "What is the literature in question?" So much of discussion about linguistics in literature teaching or literary studies is vitiated by imprecision because the arguments are mostly about hypothetical porpositions, about hypothetical students, or about hypothetical literature. So much is assumed on a priori grounds that even if a fraction of some of these propositions were to be accepted as working or teaching procedures the actual results are likely to be far from attractive. At least, language pedagogy is always a compromise--a compromise with numerous variables (such as local teaching conditions, availability of time, resources and talent). The teaching of English language or literature overseas is, perhaps, subject to more of such variables than the teaching of any other single subject--partly because of the very nature, scale as well as importance of the enterprise in those countries where it is in any sense important. The language teaching courses which really work are the ones which are written with actual situations in mind rather than with potential ones. One reason why the proposal for the teaching of literature infused with the notions derived from the linguistically-motivated stylistic analyses, has to be acceptable in real teaching situation is that not all such proposals are pedagogically workable especially when they are more concerned with validating a

particular theoretical model of description than with the day-to-day problems of the language teacher. We shall briefly look at some of these problems in the next section.

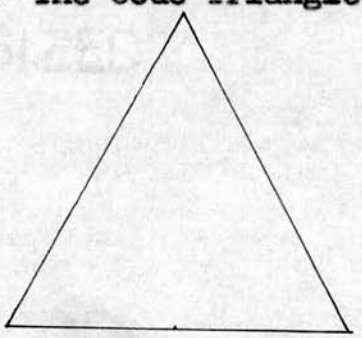
8.4. Three Problems of Teaching Literature in a Foreign Language Situation

8.4.1 The problems of teaching English literature in a foreign language situation are elusively numerous, but it is possible to group them under three main headings: 1) the problem of the code; 2) the problem of the message-form; and 3) the problem of the context. To take up the problem of the code first, it is now an accepted tenet of literary studies that experiencing of a work of literature, no matter how big or small, can only begin, and continue with the reading and the study of text. If the experience of literature is to be available at all it will be so only after decoding all the linguistic elements and structures which constitute the literary text. These elements and structures can be decoded by a non-native speaker only after attaining a certain level of proficiency in the English language. This means learning the grammar and the lexicon of English. It is possible to quantify a learner's proficiency in both English grammar and English lexicon by measuring in precise statistical terms the number of structures and words which he has passively or actively internalized. This measurable aspect of the learner's proficiency represents what we might call the bottom of the pyramid of linguistic proficiency. The nature of what we have chosen to describe as "the problems of teaching English

literature" can be approached through analogy with a three-sided pyramid of which one side represents the problem of the code, another side represents the problem of the message-form, and the third represents the problem of the context. On all three sides of the pyramid the base to apex distance represents a hierarchy---starting with the elementary problems to the problems of most subtle kind at the apex. On the code side the base may be said to represent a minimum adequate proficiency in English with a command of anything from 200 structures and 3,000 word English vocabulary. In other words, the base of the proficiency pyramid may be considered a measurable bottom of a hierarchy of language proficiency. If we take the knowledge of English grammar and of English lexicon as two sides of the triangle what emerges is a diagram of the following type.

Figure 1

The Code Triangle



Minimum Adequate Proficiency

As we move upwards in the code-triangle the measurable parameters become not only narrower and narrower they also become more and more close to the other two sides of the pyramid, i.e., to the Message-form and the context. In other words, at the apex of the pyramid the perception and

discrimination of code values such as rhetorical and stylistic qualities in the text begins to merge with or approximate to the literary (as distinct from linguistic) and the socio-cultural (as distinct from both literary and linguistic) contents of the text. The kind of linguistic proficiency which enables the non-native to perceive and discriminate between various rhetorical and stylistic imports of the text, is not only the most difficult one to acquire but also the least amenable to measurement. Several rhetorical values of a text which have, for instance, been described and classified in traditional textbooks can be taught or learnt. They can be memorized and reproduced but the kind of proficiency in a foreign language which enables the non-native to perceive satire, humour, irony etc., represents a near-native one. Thus, in the teaching of English literature in a foreign language situation the problem of the code is not just a problem of teaching grammar and lexicon; it is also the problem of inculcating an acceptable command of the code so that the learner, after having achieved a minimum adequate command in English, has still a great deal to acquire and cultivate a knowledge of the code in terms, not of grammar or lexicon, but of rhetoric and stylistics. Before the release of meaning takes place in these terms the literary work or text cannot be said to be available for interpretation or enjoyment. In the teaching of literature the problem of the code acquires a double importance. The learner has to know the code as a system used in everyday, normal, real-life situation. He has to know the code system or the norm, but in studying the literary

texts his knowledge of the norm or code system will constantly be put on trial for its inadequacies to cope with the literary texts, because every important poem or play is a 'dialect unto itself,' and coping with it is like learning a new language. The features of the poem which are rhetorically or stylistically marked are likely to be the ones which are not ordinarily signalled by the code system. In other words, literary texts by their very inherent linguistic features and structures put a considerable strain on the learner's command of the code. Poetic metaphor and imagery are the best examples of how the reader is taken by surprise: every successful metaphor is a fresh collocation of lexical elements, in some sense deliberately intended to disturb our semantic "presuppositions." In order to appreciate the import, stylistic or rhetorical, of say Donne's metaphor of the flea as his honeymoon-bed the learner has to have certain presuppositions associated with both flea and honeymoon-bed. But such presuppositions in themselves are no surety for the fact that the non-native student of English literature will respond fully to Donne's metaphor. This, then, may be said to pose one of the primary difficulties for the non-natives as students of English literature. A minimum adequate command of the English language measurable, as we said earlier, in precise statistical scale in terms of active or passive command of English grammar and lexicon, does not necessarily make one a responsive student of literature. This is just the base of a triangle of proficiency on which must stand an ability to perceive and discriminate stylistic as well

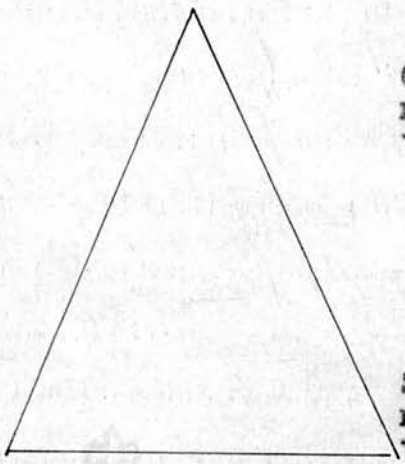
as rhetorical values of the code in operation. The problem of the code is, therefore, one of decoding the elements in operation, the structures and words in use, not just in terms of the grammar and the lexicon, but in terms of the organization of each individual message. This kind of proficiency involves not so much the knowledge of grammaticality as the knowledge of discourse, not so much the knowledge of the sentence as of sentences in combination and use.

8.4.2 The second aspect of our 'problem-pyramid' is the problem of the message-form. The term 'message-form' is being used here in the sense of the literary form, its structure, traditions, history, movements, genres. As such 'message' here does not stand for the propositional content of a literary work. It stands for all those facets of its values, structures and traditions which make the literary work a unique message or message-type. It may be identified with all those qualities and features which make it a 'literary' work. Retaining our earlier analogy of the pyramid the triangle forms a hierarchy of problems, beginning with a simple comprehension of literary forms (such as a sonnet, an essay, a novel, or a short story) to complex literary genres such as farce, tragedy, mock-heroic, burlesque and so on--all of which border on the socio-cultural frontiers. The ability to make a large number of synchronic or diachronic comparisons within each of these literary genres, comes only after intensive as well as extensive reading. Associated with the message-type is also a host of historical and quasi-historical facts which need to be assimilated before the literary experience is 'realized.' Similarly, the notions of 'periods,' 'move-

ments," 'trends,' and 'schools,' are an unavoidable part of the repertoire of a literary metalanguage. Study and teaching of literature is not possible nor will it be rewarding without an access to such a metalanguage comprehensible to all the parties concerned. What we have chosen to call the triangle of the message-form in our problem pyramid is comprehensible in terms of the availability of such a metalanguage. The meaningfulness and fruitfulness of all activities in the literature classroom will depend upon the learner's competence to approach the literary text in terms of a metalanguage which is made of larger and larger number of units of elementary literary notions. The greater the number of these metalinguistic terms and units of literary notions the more will be the learner's ability to analyze and make comparisons between different elements of the literary form and experience. The point worth emphasizing here is that the message aspect of the problem-pyramid has to do less with command of the linguistic code and more with comprehension of the metalinguistic notions, structural aspects of the literary message and the literary history and traditions. Thus the triangle can be defined in terms of a hierarchy with simplest possible literary notions and metalinguistic terms at the bottom and the most complicated terms and notions at the apex.

Figure 2

The Triangle of Message-Form



As the complexity of the notions and terms grows their distance from the socio-cultural concepts and aspects of the literary work becomes less and less. As we reach closer and closer to the apex of the problem-pyramid the linguistic, the literary, and the socio-cultural aspects tend to merge into a common apex. This is precisely what happens when one approaches complex literary texts, no matter whether they are contemporary or historical. This is where Alexander Pope's The Dunciad resembles Eliot's The Waste Land. The distinctions which are clear at the bottom of the pyramid cease to matter here, because the linguistic problems are no longer distinguishable from the literary and the socio-cultural ones.

8.4.3 This brings us to the third aspect of the problem pyramid: the problem of the context. The word 'context' is being used here somewhat loosely to stand for all those aspects of the literary work which are neither linguistic nor literary in nature. A hierarchy can be visualized in this aspect as well as in others. The problem

here is of unfamiliarity with 'the background,' i.e., with what Alan Warner calls 'the problem of missing background.'[1] This is the problem of unfamiliarity with the socio-cultural background, starting from the gross physical setting and landscape to the intimate elements of a particular culture. It may include any, or all, of such factors as geography, typography, climate, history, mythology, legends, occupations, institutions, personal relationships, habits of thought, social values, moral codes, music, humour, arts, holidays, sports, politics, entertainments, etc. A whole cultural framework as a totality at times surrounds a work of literature and this may be an entirely different framework from the one to which the student is used. If the field of reference is not there the expected release of meaning does not take place. The field of reference may be missing simply because the student from a traditional society is unfamiliar with the physical details (such as the gadgets of an industrialized and automated society). But the background may be missing because of the more subtle disabilities such as differences in response and in value-judgements. For example, D.J. Enright tells us how "In Japan the film of Richard III... ... met with the widespread and indignant objection that the stabbing of Richard was repellant, sensational, and vulgar."[2] In spite of the shrinking of distance in space (the whole earth may become a global village) the psychological and social gaps between different societies are at times unbridgable. Many expatriate British

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1 Alan Warner, "African Students and the English Background," in W.R. Lee, ed. ELT Selections 2, pp. 189-193.
2 D.J. Enright, "Splendours and Miseries of a Literature Teacher," in W.R. Lee, op.cit., p. 195.

or American teachers teaching English literature in China, Japan, India or Africa have their own anecdotes to contribute to the lore. This is a problem which is perceived almost immediately by the expatriate teacher rather than by the non-native English teacher teaching a class of foreign students. More often than not the non-native teacher himself feeds upon personal reading, radio, movies, papers, audio-visual aids than upon a first-hand knowledge of the society and culture of the English-speaking countries. Personal contact, travel, observation and long-term stay among the people whose literature they are supposed to be teaching are more often the exceptions than the rule. Consequently, as far as the problem of the missing background is concerned, the literature class resembles the blind leading the blind. The reason why no perceptive work on English literature has emerged from India is, presumably, because there is a whole dimension of English literature about which the Indian response is unreliable. In the teaching of English literature the problem of cultural content presents a major difficulty because the established principles of language teaching such as selection, graduation and presentation has an uncertain applicability in the case of literary works as a whole. The availability of word-lists like those of Michael West in Britain and Thorndike and Lorge in the United States gives an objective framework for the notion of vocabulary control. There is hardly anything resembling an acceptable and adequate tabulation of the syntactic structures of English. A tabulation of the social, cultural or literary content and structures is, at present, something of a far cry. It is generally agreed as a sound language

teaching principle, that the 'teaching materials' should be within the learner's range of experience. The imprecise nature of numerous competing teaching materials, flooding the market with vague labels such as "for high intermediate level," or "for advanced learners of English," is understandable. The writers and editors of such courses do not care to define who their intended readers are in terms of the structural patterns, let alone in terms of the cultural or social content of the courses. That the literature of another people with a strikingly different cultural frame of reference is an artefact of uncertain standing in terms of appropriate response is a pedagogical problem on which there is very little objective and reliable data to fall back on. In the end, it is each individual teacher's own intuitive judgement which one resorts to. To give a recent example, D.J. May and L.A. Hill have recently brought out a series of five books said to be graded in "order of increasing difficulty"--A New Introduction to English Literature Book 1-5 (London: OUP, 1969) The 'Preface' assures us that

> The extracts range in time from one of the earliest works of English literature, the Anglo-Saxon poem, Beowulf, to many modern English novels. Virtually every important English writer has been included. (In making the selections and in grading them) the basis for judging the difficulty of each piece was as follows. Assuming that a student was familiar with L.A. Hill's basic 3,275 headword vocabulary, the number of these difficulties per 100 words in the piece as a whole indicated how easy or hard it would be for the student,[1] and where it should come in the sequence.

This is just an example of a unidimensional approach to literary texts. May and Hill do not even take the structures

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1 D.J. May and L.A. Hill, A New Introduction to English Literature Book 1, p. vii.

into consideration, let alone the penumbra of social, psychological and cultural complexity of each of the extracts. One consequence of this lopsidedness and pseudo-gradation is that while a 25 line simple and amusing Irish folk tale by W.B. Yeats comes in the Book 2, a 200 line extract from Virginia Woolf's Mrs. Dolloway---a highly wrought and intricate novel, appears in Book 1 of the series. It is, therefore, anyone's guess where the Anglo-Saxon poem Beowulf would come. Approaches to literary texts such as represented by May and Hill make a mockery, not only of literature, but also of the principles of selection, gradation and presentation. Vocabulary statistics is not all that is to literary texts. Selecting and grading them simply on the criterion of a word-list is to take a limited view of literary texts even from the linguistic point of view.

8.5. The Traditional Solutions and Methods of Teaching Literature

8.5.1 To cope with most of the problems discussed above the established practice has been to apply the same principles of language teaching to the teaching of literature as well, i.e., selection, gradation and presentation. The principle of selection involves deliberate decision concerning the size of vocabulary and the choice of grammatical constructions used in the text. The principle of selection can be extended from vocabulary and grammar to some of the less overt axes of choice such as formality and informality of style, rigid varieties to the less rigid ones and so on. The application of this principle can be seen in numerous 'prose selections' and 'poetry selections'

used for higher secondary and pre-university students overseas. It is more usual to come across the textbooks which are 'selections' in a very loose sense of the term than the textbooks which are 'selections' in the technical sense of the term. Thus prose selections are selections in the sense that it is a compilation of literary extracts based on some vague criterion of degree of complexity. Selection in the case of literary extracts has dubious validity when, because of its highly cohesive nature, the literary extracts are considered in isolation as vocabulary or grammar rather than as literary or cultural artefacts. To select is to restrict and to control the nature of exposure, but in the case of literature-courses the nature of restriction and control is not always clear. There is a fundamental ambiguity about the principle of selection as applied to the literary texts. An extract which is linguistically accessible is not necessarily accessible as a literary or cultural entity, although prima facie linguistic availability is a pre-requisite for everything else. 'Selection' as a teaching principle applied to the literary texts, has had in the past only one significant status: it is essentially a negative principle which seems to assert the undesirability of a direct experience of particular literary works. In the place of such experience the argument is that the learners should be exposed only to "selections" or "specimens"—chosen supposedly on some definable criteria. The question which needs to be scrutinized is: are the prose or poetry selections based on such criteria, that is to say, criteria which consider

these extracts not just as texts but as literary texts. For example, discussing the principle of selection Halliday, McIntosh and Strevens write:

> A process of limitation must be undertaken, since 'the whole of English' is neither teachable nor appropriate. There are two parts to the process: first, the restriction of the language used to a particular dialect and register, and secondly, the selection from within that register of the items that are to be taught, according to criteria such as frequency of occurrence, disponibilité, teachability and classroom needs.[1]

Criteria such as frequency of occurrence, availability, teachability and classroom needs etc. are perhaps much less directly relevant than the level of language proficiency of the intended students in making decisions about selections from literary works. The criteria mentioned by Halliday et al., are relevant for language teaching, but if they are applied indiscriminately to the preparation of literary selections they cannot be of much help. The established and traditional practice of exposing the students to the literary specimens within their language range is based on the twin principles that the language of the specimens must be within the power of the students and that direct exposure to serious literature must be restricted and phased.

8.5.2 While the first of the two principles helped to produce 'poetry selections' or 'prose selections' the second helped to produce grading of such selections through a teaching course. Gradation of the literary materials is, once again, based on some imprecise notion of difficulty or

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1 Halliday et al., p. 207.

complexity of the materials. For example, the five graded books of the May and Hill New Introduction to English Literature series are said to grade the passages "in order of increasing difficulty." The principle of gradation is based on the notions of order and sequence of learning/teaching items. May and Hill write in their preface that "Book 1 starts with the easiest piece, Book 5 ends with the most difficult." In the case of language teaching items such an order or sequence of the easiest to the most difficult can be set up. But in the case of the literary texts, unless their language alone is taken as an index of the degree of difficulty such an order is not particularly helpful. The conflict of the linguistic, the literary and the cultural meaning or content is likely to make sequencing a task of great complexity. The distributional data on the linguistic level are sometimes quite misleading, and it is nearly impossible to tell whether a narrative poem per se is easier than a descriptive one, or whether short stories are intrinsically easier than novels or plays and so on. In May and Hill a 12 line poem by Philip Larkin, "Talking in Bed," appears in Book 1 presumably because it is short. Larkin's poem, as the editors of the text acknowledge in their note, "convey a complex set of feelings." The simplicity of its linguistic surface can be very deceptive. At any rate, the May and Hill series is symptomatic: it is symptomatic of, among other things, the vagaries of indiscriminately applying the traditional established principles of selection and gradation to the literary material.

8.5.3 If the prose/poetry selections on the one hand

and the graded readers on the other are examples of one type of solution suggested for the teaching of literature at the upper secondary and pre-university stages overseas, 'simplification' of the classics of English is also an equally entrenched method of teaching literature at these stages. 'Simplification' is a linguistic and pedagogical short-cut to nearly all the problems posed by the nature of literary texts. Re-telling, rewriting or editing the English classics by deliberately restricting their vocabulary and grammatical structures is an established practice. If offering courses in literature to students who do not have enough language to understand its literature is one form of abuse, another abuse of literature is to simplify a well-known classic of English and teach it as if it were the actual work. Simplification is a form of distortion and the simplified text ceases to be a Dickens or Thackeray in all but the name. Serious literature is misused if it is simplified to make it usable in the secondary school class-room. A more agreeable procedure will be to postpone the exposure until the students are ready for serious literature as an aesthetic experience in itself. English classics "retold for easy reading" such as the OUP First Series (within about 1500 headwords) include Dickens's Great Expectations, Brönte's Jane Eyre, Swift's Gulliver's Travels. The second series (within about 2000 headwords) include classics from Thackeray's Vanity Fair to Shakespeare, Tolstoy and Cervantes. Another series of stories retold simplifies well-known works ensuring that "the readers will enjoy the stories without any assistance save that of a good

dictionary." The practice of using such simplified texts as "supplementary reading" is, on the whole, of a questionable value linguistically as well as pedagogically. In the process of simplification the unique qualities of the classic are all but destroyed and filtered out, and the student is exposed to a fake version of Dickens or Shakespeare. It is perhaps much more justifiable to teach the literary texts which are <u>within</u> the students's linguistic and psychological reach than to simplify great classics of the language to bring them up to the student's reach. In some sense, the very complexity, linguistic as well as non-linguistic, is the value of a work of literature, and if the process of simplification is intended to bring literature down to the classroom it is an inherently self-defeating process. No student can be induced to experience or enjoy literary experience beyond his range, no matter how great the reputation of the author in adult literary circles. Of the three traditional solutions to the problems of teaching literature in the higher secondary or pre-university levels by far the most common practice is not so much to choose between simplification <u>and</u> selection with only a semblance of gradation, as to seek a compromise <u>between</u> simplification and selection so that on the one hand there are so-called prose selections and poetry selections and on the other hand there are simplified retold classics as supplementary readers or rapid readers.

8.6. The Traditional Methods of Teaching Literature at Advanced Stages

8.6.1 If simplification, selection and gradation are the principal solutions in the traditional pedagogy to the problems of teaching literature at the early stages, the teaching methods at advanced stages are much less homogeneous. However, one feature stays constant throughout the post-school stages: the standard practice is to expose the student directly to the literary classics though the classics may be a select and chosen few. This may be called the principle of direct exposure to literary classics. This is one approach that remains constant after the school. Lecture on somewhat stereotype literary topics comes to occupy the place of the most important single teaching procedure. Of the traditional methods of teaching literature at advanced levels which make use of lecture method there are three major types depending upon what serves as the focus of the lecturer's attention: 1. Information-centred; 2. Text-centred; and 3, Experience-centred. In the information-centred method the literary work is merely a stimulus for the transmission of information of several kinds --from the writer's biography and his contemporary history to the sociology of ideas. The literary work is rarely discussed except as an index to the writer's personality, his world-view and the milieu of his age. This kind of teaching feeds upon biographical criticism, psychoanalytical biographies, historical scholarship of various sorts and lately upon Marxian and other sociological approaches to literature. The information-centred teaching descends down to the actual

text only for the convenience of collecting some details from the text. Otherwise the teacher, for most of his lecture-hour, soars in the world of ideas, schools, periods and ages. The literary artefact made of words is only one of several works illustrating a sociological or psychological thesis, and for all intents and purposes the literary work as an experience to be approached through words, is rarely discussed in the classroom. In its best form this method of teaching literature confuses pedagogy for scholarship; at its worst, it confuses the teaching of literature for the transmission of facts <u>about</u> literary works. In either case, it is a substitution of something else which is not literature for something which is literature. Consequently, the students who are schooled in this method of teaching can never take literature for what it is: they can never confront and appreciate the <u>new</u> works which have not yet passed through the commentary, scholarly editions and other accretions of canonization through the passage of time. Teaching of this variety creates in the students less interest in the plays of Shakespeare than in the editors of his First Folio. It assumes that once <u>all</u> the repertoire of facts and glosses have been supplied the work of literature will reveal itself or that the students will find their own way into its experience. In actual fact, teaching literature by transmission of facts, in the long run, inhibits the students' initiative of response, and in all likelihood they become, without some props of facts, data and dates, quite unable to decide what to do with a poem or a novel. This ultimately becomes a training in insensibility.

8.6.2 At the opposite end of the scale is the experience-centred method of teaching literature. Here the teacher takes his students directly to the experience of the work without detaining them to consider the objective and linguistic correlatives of the experience. It is either in terms of the teacher's own subjective response or in terms of the students' personal experiences that the aesthetic-moral value of the work is to be described and judged. It is an attempt to relate the literary work directly to one's response without examining or analyzing the circumstantial details. One consequence of the method is impressionism. Impressionism is not an evil, but the method promotes dilettantism rather than a discipline of any kind. Because of the fact that the experience-centred method tries to get to the centre of the work without travelling through the radius of objective data and other correlatives of the experience it is not a training in any acceptable sense of the word. A love poem by Donne, for instance, is the richer experience by virtue of the fact that one has to keep close to the poem's logical, linguistic and structural organization. One discovers the experience; one re-creates it for oneself only by assimilating the detailed stimuli of the poem. In trying to discuss the experience of the poem if all the externals are to be ignored the experience ceases to exist except as a psychological memory or abstraction which is what a poem never should be. The experience-centred method appeals to a kind of subjectivism at its worst and at its best it encourages the students to respond spontaneously to the literary experience. In the foreign language teaching situation the experience-

centred approach has severe limitations, because the intuitive perception of the literary experience will often be missing among the foreign students. Even where such perceptivity exists there is the problem of a metalanguage in which the experience can be described or discussed intelligently. Only a limited number of teachers who have initiative and personal dynamism can make the experience-centred method work. By its very nature its success depends upon the communicative possibilities in the classroom as well as upon the size of the class.

8.6.3 Between the two ends of information-centred and experience-centred approaches of teaching literature comes the text-centred approach. The text-centred method developed out of the early twentieth-century reaction against historical-philological scholarly criticism on the one hand and impressionistic-dilettante criticism on the other. The influence of Richards, Empson, Leavis and Eliot has been very far-reaching. The verbal analysis of literary texts, initiated by Richards and taken up by Empson and Leavis, is a contributory discipline in the development of what has come to be known as "Practical Criticism." The basic feature of this method of teaching literature is an attempt to take the text in hand as the final arbiter of the literary value and experience. The text-centred method may be said to be a method of piecing together the literary experience by an inductive method of describing and analyzing only the observables in the linguistic details and structure of the text. It dispenses with the poet as well as all that is extrinsic to the poem. A typical text-centred literature class will

begin with a reading of the poem followed by picking up verbal clues. Discussion of the poem will centre around such features of the text as imagery, metaphor, symbol, diction and figurative devices such as irony and paradox. These are the areas of the text-centred interest and attention. The syntax of the poem is rarely, if ever, examined. Wherever the language of the poem is discussed it is done so in intuitive terms. Very rarely is the language of the poem discussed in terms of a theory of linguistic description and analysis. Thus the text-centred method, in the long run, draws upon 1) the teacher's previous experience of reading similar poems; 2) his total experience of reading literature (assuming that he is widely read); and 3) his experience of the English language as well as of the world. In other words, the text-centred method relies heavily upon the teacher's intuitive knowledge of the way language works in literary texts. The existence of the literary text in front of the class as an observable or verifiable artefact is one positive aspect of the method. The weak point of this method lies in the uncertainty with which the students' response can be related to specific features in the language of the text. Because of an absence of a theory of description and analysis the closer the classroom discussion moves towards the actual detail of the formal linguistic choices that the poet has made, the more impressionistic the discussion is likely to be. In the absence of an explicit account of the formal features of a text the poet's selection of these features from the patterns of grammar and lexis will have to be described and analyzed

in terms of the intuitive assumptions that the teacher or the students make about the structure and function of language which are based solely upon their individual and social experience of its use which, in a non-native context, is fraught with uncertain gaps. In other words, in the text-centred approach to the teaching of English literature the teacher relies heavily upon 'folk linguistics' for the close examination of the actual text of the poem. Much of such teaching draws upon the works of the critics who devote literary analysis to exploring complexities, ambiguities, irony, wit, and imagery. These procedures are expected to lead to a precise description of the imaginative effects of literature. At times, as in the case of the writings of F.R. Leavis and the Scrutiny-critics there is an abrupt transition from a close examination of the literary text to moral and aesthetic judgement supposedly drawing upon the inductive process of analysis. A central feature of this method has been the need to stay close to the text, to talk about the poem on the page as an autonomous object, but in actual practice the text serves merely as a convenient starting point to take off into extrinsic areas. The teacher recreates the meaning of the poem, not in a plain prose restatement but in some form of paraphrase and this is rarely, if ever, linked to the formal features of syntax and lexis selected by the poet. In the text-centred method the language of the text, therefore, means something entirely different from what a linguist would ordinarily consider such a language to be. It is not so much a question of "the actual words on the page" as a question of describing them

explicitly without making use of an ad hoc framework of description and analysis. One weakness of this method is, therefore, the necessity both for the teacher as well as the students to talk about each poem as if it were a private language on its own unrelated to the language use outside the poem, or outside the classroom. Comparison between two texts (a standard practical criticism exercise) becomes an exercise in approximation just as all "dating" of the text exercises always are happy guess works. The classroom activities are, therefore, no more objective by virtue of focussing the students' attention on the text.

8.6.4 Although the three methods of teaching literature are a part of long established teaching repertoire in actual practice none of them is used without some compromise with the others. Even the most orthodox of the text-centred teachers will, at some or other point in their teaching, digress into history, biography, sociology or even psycho-analysis. Thus none of these methods is likely to be found in isolation without a blend with others at some point. It is largely a matter of focus of attention in the classroom. For example, Cox and Dyson, in their textbook Modern Poetry: Studies in Practical Criticism, concede that

> 'What kind of poem are we dealing with?' The answer to this question involves some discussion of the genre in which the poem is written, and the historical background ... ... The student must have some knowledge of the author's life and times, and of the circumstances in which the poem was written. But he should not, of course, introduce into his analysis biographical or historical details that have no relevance to his elucidation of the poem.[1]

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1 C.B. Cox & A.E. Dyson, Modern Poetry: Studies in Practical Criticism (London: 1963), p. 21.

A rigid and sharp line dividing the teaching methods does not, perhaps, exist, but it helps to differentiate various methods on the basis of the orientation.

8.7. The Case for Integration

8.7.1 In his closing statement on "Linguistics and Poetics" at the Indiana Conference on Style, Jakobson concludes by saying:

> A linguist deaf to the poetic function of language and a literary scholar indifferent to linguistic problems and unconversant with linguistic methods are equally flagrant anachronisms.[1]

Statements such as Jakobson's are optative without being specific. Jakobson does not show at what level or stage the literary scholar can profitably meet the linguist, and part of his plea for the one being conversant with the problems and methods of the other is weakened by a generalized statement of what is desirable. Because of the fact that they are based on an assumed proximity of the linguistic and the literary studies they do not help either. The point worth considering here is that the literary studies must be conceived as multifarious activities---more so than, perhaps, the linguistic studies. Although in some way or other all literary studies have to do with literary texts or with literature their orientations are very different from one another as they as a whole are from, say, linguistic studies. Thus, a preliminary requirement for the case for the integration of the linguistic and the literary studies to be convincing and workable is that the trial area for integration must be clearly defined. For any scheme to be workable its

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1 Roman Jakobson, "Linguistics and Poetics," in Style in Language, ed. Sebeok (Cambridge, Mass: 1960), p. 377.

area of operation needs to be delimited. As far as the literary studies are concerned, as we said elsewhere in this study, this can be done in several ways. Of these one is the separation within the literary studies of the theory of literary criticism from the description of literary texts. We can set up a hierarchy of distinctions and further distinctions within the literary texts. But within the literary studies as a whole the criteria and evaluation measures for success or failure of any work will have to be quite different from the evaluation measures for literature when we consider it as a pedagogical subject, not as a field of scholarly enquiry, discipline and specialized pursuit. In other words, literature as a pedagogical subject might require approaches which may not necessarily produce equally demonstrable results when applied injudiciously to literature as a field of scholarly enquiry. It seems, thus, desirable to draw a clear line and set up a working boundary between the two activities: the study of literature as a field of scholarly specialization and the study of literature as a pedagogical subject, particularly at the initial stages in a non-native context. For, as Rawlinson says, the university courses in literature has a "tendency to turn into courses in literary criticism."[1] Already there is something 'artificial' in the idea of a literature course; as soon as literature course is taken over by literary criticism the whole purpose of such a course will have been defeated. Because one of the main purposes of a literature course is to

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1 D.H. Rawlinson, The Practice of Criticism (London: 1971), p. ix.

teach each student to discover for himself what his own feelings are in the presence of the literary text and to find language to express these feelings in "this lone encounter with the text." Thus one initial advantage of focussing our attention on literature as a pedagogic subject is that we could, in presenting the case for the integration of linguistics and literary studies, adopt and use a set of explicit and clearly definable criteria as evaluation measures. In any linguistics-infused teaching of literature programme an effort to set up 'the teaching of literature' as, in some sense, autonomous activity is only a primary methodological strategy from which a set of pedagogical or applied linguistic tactics will have to be derived.

8.7.2 Of all the areas in the literary studies where linguistics in general and literary stylistics in particular can make a tangible and measurable contribution, the teaching of literature in a non-native context is one where the prospect seems very bright. The pedagogy of literature is where, particularly in the non-native situation, the hypothesis for integration can also be tested. Much of the traditional methods of teaching literature, no matter what the focus of attention is, draws upon literary criticism of one sort or another, and as Widdowson has put it,

> Though this is not made explicit, literary criticism of the traditional kind makes appeal to a theory of aesthetics which postulates artistic universals... ... The literary critic assumes that the artistic value of a work is available to intuitive awareness, and he makes use of an impressionistic terminology to communicate this awareness to others. The difficulty with this procedure is that it makes appeal to intuitions which the reader may not share with the critic. This is generally the case with the language learners whose

> knowledge of the language has not reached the point at which they have an intuitive sense of the subtlety of language use... ... This is where stylistics can make its contribution. Its concern is with the patterning of language in texts and it makes no presupposition as to artistic value. By investigating the way language is used in a text, it can make apparent those linguistic patterns upon which an intuitive awareness of artistic values ultimately depend.[1]

In a context where the learners have nothing to fall back upon except a superficial knowledge of the grammar and a limited lexicon, let alone an intuitive sense of the subtlety of language use in literary texts, the teaching of literature can be effective only if, by means of a controlled exposure, the learners are made demonstrably aware of the language used in the texts, literary as well as non-literary. This is precisely what stylistics does: it takes the text to pieces to show how it works; how the elements of the language system works to form textual patterns, and how these textual patterns in turn function as communication. If literature can be taught at all it can be done so only by bringing to the level of conscious awareness features of the literary texts otherwise only accessible to trained intuition. Such a training alone can provide a reliable--slow but sure--foundation for aesthetic appreciation of literature. The students in a non-native context would know <u>some</u> grammar and <u>some</u> vocabulary, i.e., they would know some conventions of the language system. But this knowledge of the language system is only <u>partial</u>, because it is only a part of the knowledge of the conventions of English which a native speaker of the language is intuitively aware of, i.e., naturally as

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1 H.G. Widdowson, "Stylistics," (Edinburgh: Mimeographed, 1970), p. 3.

a part of his knowledge of the language. The idea underlying the traditional literature courses, that the effect of literature can be felt unconsciously or intuitively applies, perhaps, in the first language situation, because the knowledge of language conventions needed for an appreciation and enjoyment of literature have indeed become intuitive. But in the foreign or second language situation, this is not the case at all because the students do not possess such intuitions of the language conventions either of the system or of the usage. This is one of several significant points which Sinclair made at the Cambridge Conference, where he said

> the learner (i.e., in the second or foreign language situation) will lack the incredibly vast experience of the native speaker, which is demanded by literature. Any piece of literary language must be understood against the total language experience of a speaker. It cannot be acquired, therefore the best possible substitute is required; and it is not certain that present language-teaching methods aim to do this at all. Rather, they concentrate, quite correctly in view of their aim, on narrow, well-trodden linguistic paths and leave the mass of linguistic varieties severely alone.[1] (My emphasis)

What emerges from Sinclair's statement is that English literature can only be taught in association with English language and that literature can contribute to the total language experience of the learners. If literature is a somewhat restricted and deliberately specialized use of language we cannot teach it in isolation from the language. This is, therefore, a most congenial area to see the elaboration of an integrated approach--an approach which

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1 John McH. Sinclair, in Press, p. 45.

makes use of the insights drawn both from literary stylistics and literary criticism. Linguistic analysis can be pursued as a procedure for training appropriate literary analysis as well as for checking up the validity of intuitive aesthetic response. As a basic pedagogic strategy it must be accepted that literary texts can be appreciated only with a full knowledge of the everyday non-literary use of language. Thus as part of our pedagogic tactics we have to build upon the twin principles of analysis and comparison. It might be worth noting that there is nothing unusual about these principles because nearly half a century ago Eliot wrote in one of his influential essays that analysis and comparison are the two "basic tools of criticism."[1] By using these time-honoured "tools" of literary criticism in the teaching of literature we would be carrying on something of an established tradition in the teaching of literature courses. The two most favoured exercises in "Practical Criticism" are analysis and comparison. Of course, what is fundamentally different and radical here is an attempt to link everything literary with the everyday uses of language on the one hand and the explicit description of the language system on the other. Where practical criticism and the integrated approach to the teaching of literature converge is in the idea that teaching literature is teaching reading and that literary response can be trained and, finally, that the validity of such response can be checked by referring to the text and its linguistic details which are the final arbiter of the literary experience.

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1 T.S. Eliot, "The Function of Criticism," in Selected Essays (London: Faber, 1932), pp. 32-33.

8.7.3 Of all the three traditional methods of teaching literature the text-centred one is therefore the most promising for serving as a basis of integrated approach to the teaching of literature. It is the approach which takes the view that literature is language as axiomatic. A great number of practical criticism textbooks such as Cox and Dyson's Modern Poetry: Studies in Practical Criticism, The Practical Criticism of Poetry: A Textbook, D.H. Rawlinson's The Practice of Criticism, Cleanth Brooks and Robert Penn Warren's Understanding Poetry, or the standard textbooks of the 1930s such as Denys Thomson's Reading and Discrimination, and the more recent GCE textbooks such as J. O'Neill's Practical Criticism and Exercises in Practical Criticism--all elaborate on the method of practical criticism as a text-oriented inductive method of reading literature--a method which relies on analysis and comparison as its basic tools of literary evaluation. While both comparison and analysis of literary texts are attempted on the basis of what Halliday would have called "ad hoc categories," at least some of these textbooks have already established the principle that literature is a special use of language. Others such as Thomson's Reading and Discrimination and later Culture and Environment extend the analytical and comparative search to the non-literary texts as well as to the literary ones. Thomson in particular makes it clear that good poems are good, not only because they use language more effectively and efficiently, but also because they use language in a distinct and individual way. Under the impact of the critical didacticism of F.R. Leavis and his journal Scrutiny Thomson

and a whole generation of British critics tended to look upon the language used in advertisement, journalism, and other mass-media with moral indignation, but the point must be conceded: it was already an acknowledged procedure in practical criticism that the literary texts are compared with the non-literary ones although very often the comparison may be motivated more by a moralistic instinct of the literary critic than by a detached interest of the linguist. Thus, the very first instance of exercise in practical criticism in Thomson's textbook is an extract from The Daily Mail. Exercise No. 32 is an advertisement of the Chemists Schmidt's Piccadilly Branch, to which Thomson adds "Why is this an undesirable advertisement?" and later "Such writing debases the emotional currency, because people who consume much writing of this sort are left unable to respond to really dramatic events when they do happen."[1] The moral flavour apart, what Leavis, the Scrutiny critics, Thomson and men like Richard Hogart have done is to compare non-literary language with literary language. In their case it is always, or almost always, an attempt to show "the debased nature of all language" outside of great English writers, outside the literary use of the language. Thus the comparison is ethically motivated, and in some sense self-defeating because, in the end, one realises how far-removed the great literary writings are from the everyday use of the language. The reason why the text-centred approach to the teaching of literature can serve as a basis

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1 Denys Thomson, Reading and Discrimination (London: Chatto, 1934:1965), p. 158.

is not because it has, in the past, assumed a form of moral education or what Leavis calls "training in sensibility"; the reason why the text-centred approach can serve as a basis for an integrated approach to the teaching of literature is that it has already established 1) analysis of a given literary text, and 2) comparison of the text with other literary as well as non-literary texts as a part of the pedagogical practice. The infusion of literary stylistics will help extend the text-centred approach further. It will give the activity three basic orientations which practical criticism in practice lacks: 1) It will make the task of describing literary texts more explicit and less reliant upon the individual learner's personal intuition; 2) It will give the learner a framework to describe the language of literary texts as well as the language of non-literary ones--thus showing the language as a continuum, and 3) It will give the learner precise and less ad hoc categories for analysis of the literary texts. Thus, what are at present pursued as separate activities--language teaching and the teaching of literature can be integrated for the mutual benefit into a teaching programme of language through literature. Language teaching can just as profitably be done by making a very careful and systematic use of literary texts. After years and years of pattern drills, substitution tables, contextualized dialogues, audio-visual aids a time comes, particularly at the pre-university stages, when the English language teacher is faced with an awkward but inevitable question: what next? Either he had to acknowledge that the learners have, by now, enough English

for them to get along with the world or concede that they have not had any English at all, i.e., in the sense that while they have been taught the elements of the language system (the rules and the symbols) they have not been taught how to make use of the system for communicative functions. They may have been taught patterns through substitution tables and other forms of drills and transformational exercises, but they may be just as well unable to put these patterns in combination as texts or as communicative devices. This is probably where literature, both as communication and expression, can contribute to the total language experience of the learners. Although it is deviant as a form of communication, literature, particularly if carefully selected and graded, can serve as an excellent training ground for what Sinclair tentatively calls "command of a language"—i.e., the ability of mature, educated native speakers to exercise full control over their environment by means of their language behaviour.[1] Sinclair, discussing the shortcomings of linguistics in relation to command of a language, makes a number of points which seem equally applicable to linguistics-infused language teaching programme:

> The concentration of linguistic theory and description has always been upon the sentence and its parts. However we define a sentence, it comes out as the highest unit of grammatical organization and the lowest unit of discourse. In terms of command of the language a full description of sentences and their meanings is merely preliminary to the main problem, which is how sentences are deployed in utterance to construct purposive activity.[2]

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1 John McH. Sinclair, "The Integration of Language and Literature in the English Curriculum," Educational Review, Vol. 23, No. 3 (June 1971), p. 221.

2 Ibid., p. 225.

In the past a great deal of English teaching was focussed on 'pattern practice' in the belief that language is made of 'patterns' or 'structures.' It has come to be realized that learning the structures of a language is learning only the system not its use in the real life situation. Teaching patterns and structures without teaching the context where the patterns are appropriate was thought to be a partial and inadequate approach, because while the learner knows the difference between a well-formed and a not well-formed structure he will have no way of telling the difference between an appropriate and an inappropriate structure. The extent to which a set of contextualized dialogues or socially or occupationally differentiated variety can be used as teaching material is subject to severe limitations. The available teaching materials in English—whatever their approach or theoretical orientation—cater more to the elementary school needs, especially at the secondary and upper secondary levels than to the needs of the pre-university and university students. In fact, there is some kind of 'shying away' from the language needs of the students at these levels. It is assumed that their language needs are less urgent than the language needs at earlier stages in their learning career. Consequently, there is a kind of vacuum at the top of the language teaching programmes. The first initial six to eight years are most thoroughly investigated, analyzed, and heavily catered to. There is not anything comparable to this for the needs of the pre-university and university (i.e., 16+ age groups). The range of choice available as pedagogic materials which are at once interesting

and manageable, becomes narrower and narrower as the learner climbs up higher and higher. The established applied linguistic principle of language pedagogy is either to reject literature altogether or to postpone it as long as possible on the assumption that literature can come only after acquiring an adequate command of the language. The present work contests the view which establishes a hierarchy between language and literature at later stages in the learner's career. At any rate, the notion of adequate command of the language is contestable if it is not defined in relation to the literary text or texts in question. In place of literature-after-adequate-language approach what is being proposed here is a kind of approach where language is to be taught with literature or, more precisely, through literature. It is not so much the teaching of one after another, but the teaching of one with another, of one through another. It seems to us that the notion of hierarchy between language and literature is hardly valid and useful at advanced stages of foreign language teaching. Pattern drills and contextualized conversations cannot go on for ever, and the process of language learning cannot go very far in an interest vacuum. With the exception of films, literature provides a kind of ready-made interest area which can be intelligently and profitably used if an integrated approach to the teaching of literature and language teaching is adopted. Not that the teaching of literature is likely to provide any increase in the stock of directly teachable materials at the applied linguist's disposal. The point is that in leaving literature alone—to be handled by the teachers of literature—

the applied linguist is leaving the mass of linguistic variation severely and unprofitably alone. Thus, from the applied linguist's point of view the case for an integrated approach to the teaching of language and literature is that it gives a more complete command of the language by extending the frontiers of the learner's language-experience, particularly by making him aware of the communicative as well as expressive functions of the language.

8.7.4 The case for an integrated approach to the teaching of literature stands as far as the standpoint of literary studies is concerned, on the recent search for a rationale for the teaching of literature. If the teaching of English literature can be incorporated in an integrated programme of language teaching the whole programme can be justified in terms of functional rationale as well as non-functional rationale. There will no longer be any need to go on repeating such stirring words as the following by Dr. F.R. Leavis in order to defend and justify the teaching. English literature, wrote Leavis

> magnificent and matchless in diversity and range, and so full and profound in its registration of changing life, gives us a continuity that is not yet dead. There is no other; no other access to anything approaching a full certainty of mind, spirit and sensibility--which is what we desperately need.[1]

The need has, of course, always been there though Leavis may have perceived it in more urgent terms than anyone else before or after him. The point, however, is that both its urgency and significance is severely diminished when we

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1 F.R. Leavis, quoted in The Times Literary Supplement, Leader, Feb. 4, 1972, p. 126.

transplant Leavis's apocalyptic statement to areas of the world where English is either a foreign language or a second language. The needs, as we said earlier, are always there, but the question is: why has it to be English literature? If we try to answer this in convincing terms i.e., in less exalted words than Leavis's, sooner or later we are likely to see that English literature can only be seen as one of several foreign literatures which the students, specialists and scholars overseas are likely to be interested in. It has no more and no less strong claims on the attention of the non-specialists. Thus, from the standpoint of literary studies a programme of integrated teaching is likely to be of advantage to the promotion of interest and, more important than that, in the promotion of reading ability among the non-specialists. In the long run, the basic fact of literary education is what Sinclair calls "the lone encounter of the student with literary text." As a training in reading, as a form of schooling in the lone encounter with the literary text "practical criticism" has done a great deal overseas. It has done more than most other approaches to the teaching of literature has done in the last half century. But even the most 'practical' of practical critical approaches has failed the non-native student on two major accounts:
1) Although it is a text-centred approach practical criticism has nothing to offer a non-native student as the knowledge of the language system which can be used as a non-intuitive, objective and verifiable set of descriptive or analytical terms. 2) In order to state one's preference a constant but implicit appeal is made to literary, critical and aesthetic

values while they are never defined in explicit terms in practical criticism. One consequence of this situation is that the students are left on their own, and when faced with unfamiliar literary texts they react and respond as if they were encountering an unknown language. As a way out to the integration of linguistics and literary studies Uitti suggests:

> A possible starting point would be to divide, for purposes of analysis, literary "language" into two functions: a "rhetorical" and "stylistic" function or point of view that would permit the student to approach the text in terms of specifically aesthetic devices..., and a general "linguistic" (semiotic) that would allow the text in all its complexity to be incorporated into a body of material, techniques, and methods leading to a deeper mechanism of sign mechanisms. A given device, like metaphor or symbol, would thus be analyzable both generally and specifically ("stylistically") in terms of aesthetic meaning and value as well as in terms of language and sign.[1]

Uitti's suggestion to divide the analysis of literary texts in terms of language and sign and in terms of aesthetic value and meaning is quite valid. But, while Uitti suggests the division of the study of linguistic signs in literary texts in terms of the system on the one hand and the study of these signs in terms of stylistic devices and aesthetic value on the other, Widdowson, without denying the theoretical or descriptive validity of the study of literary texts in terms of formal and abstract categories of the system, suggests that literary texts must be studied as a mode of communication where the linguistic or the code elements of the language system serve as a means to make a unique message--the literary text.

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1 Karl D. Uitti, Linguistics and Literary Theory (New Jersey: Prentice-Hall, Inc. 1969), pp. 191-192.

> The units which the linguist deals with are those of the abstract system of the language, and to analyse texts in terms of such units is to treat such texts primarily as exemplification of the system. Such an analysis will yield information of interest to the linguist, but this information will not necessarily of itself reveal the nature of literary text as communication, and it cannot be regarded as in any sense more basic than the literary scholar's intuitive grasp of the communicative import of the literary use of language... ... If stylistics is to make any real contribution to criticism, it must be considered as the study of literature as mode of communication, and in such a study, means and ends must be given equal weight and shown to be interdependent.[1]

Thus, in the literary texts, code elements or the linguistic signs serve an actual communicative or stylistic function, and in this sense they are not just elements of the language system analyzable in terms of abstract and formal categories of the semiotic system. Thus, if the teaching of language is to be meaningfully integrated with the teaching of literature then "means and ends must be given equal weight" and above all they must "be shown to be interdependent."

8.8. Some Pedagogic Principles of an Integrated Approach

8.8.1 There are two basic pedagogical principles which should underlie all other secondary applied linguistic principles in an integrated programme of the teaching of literature. These two principles may, tentatively, be called the principle of analysis and the principle of comparison. Both, in turn, derive from an axiomatic belief that literary texts need to be approached as language before they are approached as anything else, and that they can be appreciated only with a full knowledge of the everyday use of language. Any 'intuitive' perception and 'response' to these

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1 H.G. Widdowson, "Stylistic Analysis and Literary Interpretation," The Use of English, Vol. 24, No. 1, pp. 28-29.

texts as message-types will have to be preceded by their perception as a structure of code elements. Thus, what is described as the principle of analysis is not merely a procedural requirement that the learner should keep himself close to the text while making a semantic interpretation or aesthetic-moral judgement. What is required of the learner is that he should approach the literary text as a linguistic structure--made of words, phrases, clauses and sentences leading to its analysis as a discourse unit. This is probably where structural stylistics has made substantial contribution: it has made us aware of the way the elements of the language system are made use of in the literary texts. What the principle of analysis involves is atomizing the structure of the intra-textual patterns both as code elements and communicative elements which are part of the message structure. In other words, analysis is one way of looking at literary texts in terms of both linguistic means and communicative ends, and in terms of how these means are put together for literary communication. At the same time, it is a training in reading, in finding one's way through the structure of the literary texts without attempting to canonize one's intuitions or moral-aesthetic presuppositions as unquestionable values. The principle of analysis requires the learner to approach each literary text as a dialect to be studied from the beginning--the text serving as the optimum corpus of the dialect. "Analysis" here does not mean analysis in terms of the theoretical units of descriptive linguistics, or treating literary texts primarily as exemplification of the system. It means treating literary texts each as a unique

message so that when we analyze its components it must be to reveal the communicative import of the literary use of the language. Therefore, the analysis of literary texts will have to be considered as being more than a procedure of segmentation and assignment of these text-segments to formal units of the language system. In the classroom situation this might become a self-defeating activity, and as a pedagogic programme it will be both impractical and unprofitable. Besides, the objective of teaching English language or literature overseas is not to convert the students into linguists, but to widen their language experience. Analysis in itself may, therefore, be a pointless exercise unless it is related to the consideration of the analytical findings in order to assess their communicative or rhetorical import. The literary texts must be approached through analysis of their linguistic structure not only at the grammatical level, but also and ultimately, at the rhetorical level by considering them each as a whole rather than just the sum of parts.

8.8.2 The principle of comparison, like the principle of analysis, is based on the belief that literary texts can be appreciated only with a full knowledge of the everyday use of the language. If analysis helps to reveal their inner structure, comparison reveals their relationship to the rest of language experience. In the case of a native speaker this experience is a vast and uncharted territory, but a non-native speaker will have to acquire this experience by a slow and perhaps very long-term process of registering

the differences between the language norms and their literary variants. Unlike comparison exercises in practical criticism the purpose is not to set up a hierarchy among texts or different species of texts, but to establish a continuum of language experience so that the learners come to realize that an advertisement for cigar in The Daily Mail is as valid a specimen of the English language as an ode by Keats. At the same time, it involves an exposure to non-literary language as a part of preparatory as well as complementary activity to the exposure to literary language. The principle of comparison can thus enable the teaching programme to be linguistically integrated because it seeks to place literary language in the proper perspective. The notion of contextual appropriacy and socially and occupationally diversified uses of everyday language and their norms can, in turn, enhance the learner's ability to absorb the literary text and discriminate all its stylistic and rhetorical values. In the long run the language of literature is an unconventional use of language, and it is only with a full knowledge of the conventional use in everyday situations that the full rhetorical and communicative import of the language of literature can be appreciated. This is where the teaching of literature informed by applied linguistics, is likely to differ fundamentally from other courses, particularly from the traditional literature courses covering different historical periods from Anglo-Saxons to Philip Larkin.

8.8.3 Although this cannot be postulated as a pedagogical principle on the same level as the above two, it needs to be stressed that literary texts can be taught only

if they are stressed as models, not of production, but of reception. No matter what stylistic virtues the writing of a poet or playwright has they cannot be taught as production models without running serious social risks of mixing the norms of conventionalized appropriacy. Enright, English critic and poet, has a very useful hint on this point for the teacher of English literature overseas:

> The study of literature is the study of words: a vocabulary exercise on the highest level, a lesson in idioms, and an instruction in grammar--if often negatively ("The poet puts it this way. You had better not!).[1]

The traditional approach to the teaching of literature has often confused the status of literary language, and very many writers have been included in the course as "the gems of English prose" and "the pearls of English poesy." Behind the literary-aesthetic notion of "the classics of the English language" there is a great deal of confusion lurking as to the exact status of these texts, as examples of language use. In many parts of the world "the classics" are studied or taught as "the best words in the best order." The reason why there is a tendency to quaint expression and old-fashioned idioms and structures in the conversation, writing and day-to-day correspondence of otherwise highly placed figures in the Indian sub-continent, for instance, is because of the literary or quasi-literary education which teaches one to admire "the rolling periods" of Milton's Aeropagitica, Sir Thomas Browne's Urn Burial, and above all Walter Pater's The Renaissance, particularly the last chapter! What might

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1 D.J. Enright, "Splendours and Miseries of a Literature Teacher," in English Language Teaching Selections, Vol. II, ed. W.R. Lee, p. 193.

sound as slightly jocular to the native speaker is, for instance, written and spoken with solemn seriousness. All this confusion in language norms is due to the failure of the traditional courses of literature to draw a line between what Enright calls "the poet puts it this way," and "you had better not." The teaching of the stylistic and rhetorical import of literary classics without the accompanying norms of appropriacy in social context is the least desirable consequence of a literary education in a non-native situation, particularly where the learner's encounter with the language is through books than through the native speakers. To redress the balance, an integrated approach to the teaching of literature must help the non-native students to place the language of literature, not only in a correct linguistic perspective, but also in an appropriate social perspective. This means whatever the value of literary texts as aesthetic or quasi-moral objects they are a form of language use, and like several uses of language the literary texts make use of language in some specialized way which, if indiscriminately accepted as a model for other occasions, may lead to unpredictable social and communicative consequences.

8.8.4 On the basis of the broad principles outlined above a number of specific teaching strategies may be derived, and this section attempts to outline some of the crucial ones. One such strategy would seem to be the teaching or analysis of literary texts as language before the teaching of literature as literature, i.e., the analysis of literary texts as instances of language use before the analysis of these texts as unique message-types. A number

of lessons can be planned as a take-off stage in the integrated programme. For instance, we can have four major units on the following lines to be split into a number of sub-units:

Unit 1: Teaching analysis of literary texts to show how the convergence of code elements makes texts.

Unit 2: Analysis of literary texts to show their divergence from system conventions and usage conventions.

Unit 3: Analysis of literary texts to teach intra-textual patterns

Unit 4: Analysis of literary texts to show how these texts make use of the choices open in the language system.

The assumption behind such a lesson plan is that it is much more important for the students to be able to see in demonstrable terms the unique structure of each literary text before they start to scan their implications as message-types. The lessons of this type cannot go very far without at some point bringing the students to consider these texts as meaningful units of communication, and it is none of our purpose either to suppress or ignore such considerations. On the contrary, this would have completely defeated our purpose. What a lesson plan like the one outlined above will attempt to achieve is 1) to relate the literary texts to the rest of the learner's language-experience; 2) to relate these to their language-experience by considering them as observable structure of the language system and usage, and 3) to consider literary texts at once as language and more than conventional

language, drawing upon the same means and resources but a highly patterned, consciously wrought and chosen structure. In devising the lesson plan of this type the pedagogic purpose should not be to establish or perpetuate a kind of dichotomy between the linguistic means and the literary and communicative ends of these texts. The purpose is, instead, to establish a carefully planned transition from the non-literary language to the literary ones in terms of the observable and analyzable language data. It is not possible to do so if one confines oneself entirely to the communicative end of the contrast, because there is no valid contrast between the ends of non-literary communication and the literary one. All language uses are in the end communicative, one way or another.

8.8.5 In one of the series of talks that Widdowson gave over the B.B.C. on "Literature and Language" he examines some "common attitudes to English Literature" prevalent among English teachers overseas. Among these attitudes, he says

> One is that poetry is in some way the central part of literature, the most important part. Another is that English literature means the literature of Great Britain. A third is that literature is a thing of the past: people seem to forget modern writers.[1]

In the kind of teaching approach we are advocating all the three priorities will have to be abandoned, because all of them are linguistically unrealistic. The centrality of poetry—particularly in introductory literature courses, is linguistically an unsound pedagogy because poetry, past as well as contemporary, is a highly specialized, deviant and linguistically sophisticated mode of communication. It may

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1 H.G. Widdowson, "Literature and Language," the B.B.C. English by Radio Talks, 1970. First Series, Talk I, p.3.

be central from literary-aesthetic point of view, but from a linguistic point of view poetry is no more or no less important than any other literary writing. From the literary critic's point of view it represents literary writing *par excellence*, but from the applied linguist's point of view--whose criteria are quite different--the teaching of poetry will have to wait for sufficient linguistic maturity, among other things. A prolonged exposure to literary prose must prepare the way for poetry, but teaching poetry because it is "central to English literature" is applying the criterion which is neither pedagogically defensible nor linguistically realistic. The hierarchic notion to the teaching of literature--derived partly from the assumed universal superiority of poetry compared with prose--will have to be abandoned because the linguistic-pedagogic purposes need not reflect the literary critic's priorities. The literary scales of goodness and badness become a valid pedagogical concern only when the learners have had sufficiently prolonged training in reading literature, particularly prose. Outright bad poetry (*cf.* William McGonegall' 'Railway Bridge over the Silvery Tay,' H.W. Longfellow's 'The Psalm of Life') may prove to be good teaching material. It may, therefore, be a reliable pedagogy to start with *competent verse* than with *good poetry*, with Longfellow than with Shakespeare and Donne, with commonplace prose than with 'gems,' 'pearls,' and 'classics' of English literary prose.

8.8.6 Another area requiring a complete re-orientation in the literature courses is the approach to literature which is oriented to survey, period coverage and "proportional

distribution" of syllabus units and time in relation to the history of literature. This, of course, goes back to the days when English Honours School and English Tripos were founded in Oxford and Cambridge. More often than not their courses were copied or transplanted verbatim, word for word, to the remotest corners of what is now the Commonwealth. Not long ago the first leader writer in The Times Literary Supplement (February 4, 1972) referred to Alister Campbell's statement reported in The Times. Campbell, professor of Anglo-Saxon at Oxford, is reported to have said that Anglo-Saxon "is the best part of the English course and the backbone of it," and that "English literature proper stops at 1830--after then there is only books." The approach to English literature as a thing of the past can be put in no better words. A linguistically-oriented course of teaching English literature will have to start, not with what Professor Campbell calls "English literature," but with contemporary texts, not with fossilized abstractions, nor even with books or only books, but with texts which are as much approximate to the language norms of our own time as possible. Sinclair at one point went to the extent of saying, figuratively perhaps:

> I am convinced that the best literature for export should scarcely have the ink dry on it.[1]

The further the literary texts from us in time the less real they become linguistically because the real life norms of the language in the past are only vaguely and perhaps imprecisely

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1 John McH. Sindair, in John Press, ed., The Teaching of English Literature Overseas (London: Methuen, 1963) p. 98.

retained in other texts. Literature in any age, to refer to Sinclair once again, "is only fully intelligible with reference to the state of that language at that time."[1] Contemporary literary texts must be the basis of all literature courses, particularly the introductory ones, because the linguistic relationship between these texts and the language conventions in society is still verifiable, and spoken or written English in everyday language situation can serve as a living language norm. Thus, there are several reasons why English literature should be studied or taught as a living language experience rather than as a training in literary scholasticism and archaeology---stopping arbitrarily at A.D. 1830 or thereabouts. If the teaching of literature is not to be anachronistic in orientation the courses have to be much more focussed on contemporary literature. Literature of the past gain in significance only when they fulfil some of our contemporary needs---although this cannot be the sole criterion for judging or studying literatures long removed from us in time or space. If we accept this as a matter of teaching principle it merely amounts to accepting the truism that what is culturally, socially and psychologically accessible should be taught before what is culturally, socially and psychologically divergent. This is where the fallacy of grading the literary texts comes. If we take grading to mean grading in terms of 1) vocabulary and 2) structures---the two established parameters of grading in language courses, we are leaving out other equally important dimensions. Lexically

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1 Sinclair, in Press, op.cit., p. 98.

and syntactically "simple" materials, especially the literary materials, can be very divergent socially, psychologically and culturally for the learners in question or vice versa. Nor is it necessary that contemporary literature is more approachable than, say, Elizabethan love poetry or Romantic lyrics and so on. It is more likely that what is distant in time is also likely to be distant in cultural space though it is not necessary that what is close in cultural space is also close in time. In the Indian-sub-continent Tagore, R.K. Narayan and Mulk Raj Ananda are more likely to be socially, culturally and psychologically closer to the learners than Jane Austen and Dickens on the one hand and Aldous Huxley and the social comedies of E.M. Forster, on the other. This ties in with what Widdowson has to say about the third prevalent attitude among the English teachers over-seas, i.e., "English literature means <u>the</u> literature of Great Britain," not literature written in English. As a consequence of this attitude, in West Africa, for instance, Gerrald Durrell and Thomas Hardy may be read in schools while Chinua Achebe and Amos Tutuola are neglected---this in spite of the fact that both Achebe and Tutuola are excellent writers in English on their own right. They are full of potentialities as possible teaching materials in literature courses. The West African school children would at least have been spared the painful efforts to bridge the gap that separates their everyday lives from the culture of Hardy's Wessex country. What happens when they have to grapple with the social terrain of <u>The Fairie Queene</u> is anybody's guess. English literature as literature

written by the British or the literature of Britain is an assumption---unquestionably valid, yet it is often assumed that the literature written in English by the local talents cannot be used as an introductory teaching material although this might, in all likelihood, be the soundest initiation into English literature proper. Behind the rejection of the native English language material as teaching material there is the influence of English critical opinion. It is somehow always an accepted belief among the course designers overseas that a literature course must be a series of exposures to the masterpieces of the language. Without a text having attained the status of a major or minor masterpiece, classic or "standard" author it ought not to be taught. After A.D. 1830 "there is only books" and it is "literature", not books, which should constitute a literature course. An approach such as this is more informed by moral and aesthetic considerations than by linguistic or pedagogical ones. That the classics of the language are better made objects and morally agreeable seems to be in itself a sound reason for including them in a literature course, but it may turn out that the classics are no better as teaching materials than the commonplace works of the language. Henry James and James Joyce are certainly less suitable as teaching materials than R.L. Stevenson and Somerset Maugham, and the reason for rejecting Achebe, Ananda, Narayan are neither linguistic nor pedagogical. In fact, these writers have a greater claim to be considered more suitable as teaching materials than anything culturally so distant and socially so divergent as Dickens or Thackeray, classics of the English language though they may be.

8.9. Comparison and Transition as Principles of Teaching Literature

8.9.1 In the proposed approach to the teaching of literature transition from non-literary to literary language and comparison between the two at several stages of the teaching programme will play a much more predominant role than any other measure. The ideas of transition and comparison are the key ones because it is on these ideas that any structure of pedagogical integration between the teaching of literature and the teaching of language will have to be built. While 'comparison' implies discontinuity 'transition' implies a continuum in language events. Both are valid background notions for an integrated approach because while literature is language, language is not literature. As Sol Saporta puts it, "all poetry is language but not all language is poetry."[1] Transition from the teaching of non-literary texts to the literary ones is intended to chart this area of overlap, and pedagogically prepare the students for a stage where, such as in lyric poetry or fiction, the two uses of language diverge considerably and are therefore comparable. One of the source materials for such an approach can be, for instance, personal writings particularly letters, journals and autobiographical literature produced by the literary figures of the 20th century. Letters and journals are not imaginative writings in the sense in which poetry or novels are imaginative. These are real-life uses of the language, and in the case of the letters, addressed to particular people in specific social situations. They cannot, therefore,

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1 Sol Saporta, "The Application of Linguistics to the Study of Poetic Language," in Style in Language ed., Sebeok, (Cambridge, Mass.: MIT Press, 1960), p. 83.

be regarded as 'deviant' as forms of communication. Yet, at the same time, many of the letters (such as those of Lawrence) have a strong personal character. They have an appeal which is almost as good as the appeal of imaginative writing. Such letters, among others, could provide an excellent stock of initial teaching materials for the teaching of what we have chosen to call "transition." In the teaching of transition from the non-literary texts to the literary ones more effort should be made to show what are <u>similar</u> than to emphasize what are <u>dissimilar</u>. It is only after attaining some degree of reliable skill to read both with the same degree of attention to the details of language use that the notion of contrast and comparison between them should be introduced. It is, once again, much more important to compare the details and particulars than to formulate the general features of non-literary and literary texts (e.g., literary language creates its own context; literature is an odd sort of language, and so on). The 'oddity' of litgrary language must be demonstrated by a close examination of actual literary texts.

8.9.2 In regard to the transition from the non-literary to the literary texts a point of consideration will be the gradation of linguistic and cultural divergence. The nature of linguistic divergence has been discussed elsewhere in this work, but it might be worth recollecting that in their intra-textual patterning, abnormal collocation of words and abnormal elaboration of elements of grammatical structure, literary texts can be graded from the less divergent to the more divergent ones. Where possible it is perhaps much more

realistic to grade these texts along two parameters: language and culture. In order for this grading to be possible it seems desirable to make the first transition from the literature written in English to English literature. By "the literature written in English" we mean"the literature written in English language" which is at the same time closest to the learner in terms of its social, cultural and psychological proximity. Where there is some creative writing in English as in the Indian sub-continent, Africa and the West Indies, selecting suitable materials should be less of a problem; where there is no tradition of creative writing in English, such as in Nepal or some of the South-East Asian countries, it would not at all be an unsound proposition to make pedagogical use of the local literature in English translation. In these areas there are sizeable collections of folk tales and other oral traditions. Some of these are already available in translation, others can be translated. The main point in making this suggestion for using the literature of native cultural origins as initial teaching material for literature courses, is that grading can be a meaningful principle in literature teaching only if the cultural dimension of the literary texts is taken into consideration as well as the linguistic dimension. Divergence on one scale is almost as powerful a disincentive as divergence on the linguistic scale. The local material and its use in English language teaching is not a substitute for English literature proper, but in order for English literature to be linguistically and culturally comprehensible to the non-native speakers the local material can be drawn upon intelligently

as a bridge to alien concepts in language, literature, society and culture. Here again it is more likely that there will be more teaching resources available among "commonplace" or "folk traditions" than among the sophisticated masterpieces—contemporary or the past ones. The transition from Panchatantra and Hitopadesa to Animal Farm and Lord of the Flies is likely to be less culturally dislocating than the transition from the Mahabharata to Paradise Lost.

8.10. A Teaching Programme

8.10.1 In the past English teachers had concentrated their professional attention mainly on solving the problems of language teaching at early stages in the learner's career. This was a natural thing to do because the stage where reforms should start is where the language learning process starts as well. Besides, the problems and needs at this stage are very well-defined so that what one is doing in the class-room is a set of very carefully planned teaching units tackled with assured knowledge of the ends as well as the means. But this can be said with less and less certainty as one moves up closer and closer to the final years of the school and the early years of the university education. In terms of the breakdown of tasks the language needs of the pre-university students are not very well defined. They will have already learnt some English grammar and some English vocabulary, but they are unlikely to have any knowledge of the use of English except in some form of restricted written exercise. Their knowledge of spoken English will be poorer than their knowledge of written English, and both

will have had very little chance of being tested in real-life situations for their acceptability or reliability. In other words, they cannot always tell exactly what is acceptable and what is not. It is more likely that they have already been exposed to some kind of literary English, and they may be more willing to put up with more 'literary English' than with any other single restricted non-literary variety---the reason being that literature has always been considered a prestigeous dialect---"the best words in the best order." To them this will be a natural division of learning labour because while they learn their professional 'variety' of English in the 'subject' lessons---in chemistry, geography or economics lesson, the English lesson is usually reserved for something which is much less restricted in appeal. The literature-based English lessons have had one great advantage---they do not work in an interest-vacuum; they have always some appeal to the language learning population no matter whether the literature in question is an antiquated novel or psychologically complicated play or short story. The most important factor that has to be considered in teaching situations such as in Nepal is the <u>expectations</u> of the learners and of the classroom as a whole---i.e., this includes the teacher also. Both the student and the teachers have been attuned by generations of English teachers in the past to expect the English class, particularly at the post-school stages, to be literature-based. This may have absolutely no linguistic, pedagogical or for that matter social or economic justification. But yet there they are, and there they are

likely to stay, defying, as it were, all rational considerations. It is just that the power of tradition and its hold is by far too deep-rooted than one is likely to be aware of. One reason why "structural syllabuses" became such a farce in several states of India is that applied linguists were too impatient with the local traditions of English teaching and they wanted the village English school teacher to keep up with whatever school of linguistic theory was in ascendency at the MIT or London. English teaching in these developing countries has suffered badly in the past by the imposition of pedagogic dogma. That this feeling is shared by the specialists as well as by the local teachers is, for instance, evident from what Widdowson writes in the following words:

> ... all too often an approach to teaching applicable to one set of circumstances has been given the status of a universal creed. The usual consequence of this has been that teachers have been led to renounce their faith in their own methods in order to embrace principles which they do not fully understand and cannot effectively practise.[1] One has to be wary of radical change.

At least one reason why the entry behaviour of the target population (which, one expects, includes their traditional expectations as well as their linguistic proficiency and attainment) is in some sense more important that their terminal behaviour is that it affects their <u>willingness</u> to learn in more visible ways than does their desired terminal behaviour which, on the other hand, can be defined less and less precisely as they climb higher and higher up the language learning ladder. Thus, the present teaching programme is

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1 H.G. Widdowson, <u>An Applied Linguistic Approach to Discourse Analysis</u>, Unpublished Ph.D. Dissertation, University of Edinburgh, 1973, p. 404.

based on the understanding that it is necessary to define the expectations, aptitude and motivation of the target population as well as their age, previous learning experience and future language needs.

8.10.2 The target population for whom this teaching programme is devised belong to the age group 16+, i.e., those who are more than sixteen and who have already left school. This may be said to be the lower limit while the upper limit of the population may be anything from 20+. The level in the local educational structure will be pre-university intermediate certificate or diploma—the whole period lasting for four years after the school and before the university. The present teaching programme is not intended to be spread over the whole of pre-university stage. Perhaps, such an extensive course spread over 4 years at a comparatively advanced stage will have been self-defeating. On the contrary, the course is devised as a short but intensive one to be taken up within a term during the first term of the third year. In many ways, this suits as the best time in the pre-university language learning career because 1) the students will already have had some knowledge of grammar and vocabulary in school and some literature lessons in the first two years at college. The third year can, therefore, be considered a year for remedial work, a year of transition to some more advanced literature, and a year of consolidation in language proficiency as well as literary appreciation. This can be defined better in terms of the previous language learning experience than in terms of the future learning objective. The learner will have had 6 clear years of

language learning--starting from Grade IV or lower secondary to the end of secondary schooling, Grade X (age 9-15/16)--six hours a week and 35 to 40 weeks a year--approximately 1,200 hours of English lesson. In addition to this they will have had two years of elementary lessons in professional varieties of English and literary English.

8.10.3 Once these learners leave school the demands of other professional subjects will be more pressing and at the same time the language teaching task is, at least in part, taken over by the teachers of these professional subjects. The English teacher as such takes up what might at first sight seem a superfluous activity. He teaches English language lessons which become more and more literary in orientation as the learner goes up the pre-university ladder. There is, therefore, a kind of unintended "dissociation" between the work done by the English teacher, the actual language needs of the learners, and the unintentional 'English' being propagated by the 'subject' teachers. One way to correlate all <u>three</u> without making radical changes and readjustments is simply to accept the literature-based syllabus or at least some literature and alter the focus of teaching attention from the traditional plot-character-style study to a more language-oriented one. One advantage of doing this is that least attention will be drawn--except that of the teacher--to the 'change over', and it is much more realistic to ask the teacher doing a literature-based syllabus to continue doing so, though with a change of emphasis, than to ask him to renounce what has been for him a "way of life." It is justifiable also from the point of

view of teacher education. The English teacher is likely to be less shocked when asked to teach his old lessons in a new way than when he is asked to abandon everything. And no teaching programme is likely to work which is not, in the first place, completely acceptable and convincing to the teachers themselves. As far as the target population are concerned, in the first two years at college they will have had more language experience, but still of a passive nature, i.e., listening and reading, but perhaps writing may begin to take an important place while speaking continues to remain the most neglected skill. If one adds to this picture, an initial, but very unprepared and unsystematic exposure to the literary language the picture of the language experience of our target population becomes complete and authentic. They will have known English including some literary English but neither is an assured grasp of the fundamental mechanics of English when it comes to using them. Their language experience can, therefore, be adequately described as "dormant competence" which needs to be activated by a varied set of exercises which are at once demanding as well as interesting because of their linguistic and literary content. When a student has completed a secondary school course in English, he enters a period of consolidation and expansion. What has been learnt so far must be practised constantly. At the same time, the student must come to terms with wider English. He will still have intensive practice in the four skills, understanding, speaking, reading and writing, but many of the exercises he will be doing will be less mechanical. Now that the foundations

have been laid, the student is in a position to cope with new sentence-patterns as and when they occur. However, it is still necessary for the student to work from texts if he is to be trained systematically in English. It is with these students in view that the following teaching programme has been prepared.

8.11. The Teaching Programme: An Outline

8.11.1 The basic aim of the proposed integrated teaching programme is to provide a training in English by making use of literary materials so as to consolidate and expand the dormant competence of the students in transition from college to the university education in literature. While accepting the basic applied linguistic principle that literature cannot be an initial language teaching material, the concern of the course, unlike other literature syllabuses, is not with general educational values but with more specific and practical objectives of making the study of literary texts an inclusive part of the language learning experience. This can be achieved only if the literary content in the English curriculum reflects "the pupils' present achievement in language, and not, as too often, be several years ahead of it," and "the content of the literature must reflect the pupils' knowledge of and sophistication about English or American society."[1] The programme is intended to redress the dichotomies in the teaching of language and/or literature: first, by showing that literature can be profitably used for

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1 Brian Harrison, "Language and Literature," English as a Second and Foreign Language (London: Arnold, 1973), p. 47.

language teaching, and secondly, by presenting the teaching materials mainly focussed on the linguistic features and their import, not upon such traditional notions as plot, character, symbol etc. With these aims in view, the teaching programme is graded into four stages; each stage is, in turn, sub-divided into several teaching units with specific pedagogic aims. That is to say, each teaching unit takes up a basic notion of stylistic structure or feature as its central pedagogic concern. As the programme moves from stage to stage these assume increasing complexity. What follows in the next section is a general outline description of the course and some suggestions on using it. As it is no part of this work to develop and elaborate a full-fledged syllabus or textbook, what comes as elaboration of some sample exercises, presented in Appendix, are merely suggestions. Here, as elsewhere in language teaching, "principles of method are obviously not principles in any absolute sense. They are rather guesses and hypotheses about the best way of tackling a practical problem."[1]

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1 Anthony Howatt, The Background to Course Design, (Edinburgh: Mimeograph, n.d.), p. 3.

Stage I

Aim: The aim of this teaching unit is to enable to students to identify linguistic features and patterns characteristic of literary texts. At this stage no attempt will be made to interpret or evaluate these features and patterns. This is to be done by setting up simple exercises in recognition on non-literary texts side by side with the literary ones.

Distribution of the Teaching Points:

Unit 1: Recognition of Specific Patterns and Features in Texts

This unit will largely draw upon the early Hallidayan analyses of literary texts and set simple exercises, such as structure of the nominal groups or verbal groups, distribution of some specific features of grammatical structure in a literary text. The students can be initiated into this unit without burdening them with grammatical terminology or the concepts of the theory of grammar. The purpose of this unit is to show how the elements of the language code converge on the text to form specific linguistic features and patterns. The exercises should, initially, be set on non-literary texts as well as on the literary ones, starting with 'everyday' prose. The assumption behind these exercises is that the learner must learn to decipher the literary texts as code before he deciphers them as message structure.

Unit 2: Cohesive Devices in Texts

This unit will reinforce the teaching points of Unit 1, but unlike Unit 1, it will emphasize, not the isolated features or patterns in literary and non-literary texts, but their interrelationships. Attempts will be made to teach both structural-lexical devices as well as rhetorical ones which bind sentences into texts and rhetorical units. In this unit the main attempt will be to introduce the devices of grammatical (structural as well as non-structural) and lexical cohesion. At a later stage in the lesson rhetorical devices, too, will be introduced. As in Unit 1 the teaching of these points will be done by using both non-literary and literary texts.

Unit 3: Some Elements of Grammatical Structure in Literary Texts I

This unit will initiate the learners into certain characteristic and unconventional features of the grammatical structure of literary texts, deflection, arrest and release being some of them. These are based on unconventional elaborations of elements of grammatical structure. From this point onwards literary texts begin to diverge from non-literary ones, and one of the teaching points in this unit is to show this growing divergence by using 'comparison exercises' based on literary and non-literary materials. The purpose of teaching these elements of literary texts is to make the learners aware of

the use of language in literary texts by focussing on their intra-textual structures.

Unit 4: Some More Unconventional Structures in Poetic Texts II

This unit will concentrate on literary texts; and more specifically on poems. The learners will be introduced to two kinds of linguistic patterns: simple instances of parallelism and a more elaborate form of parallelism, i.e., coupling. In either case the emphasis will be on showing the learners how poems exhibit such features as will be out of place in normal, everyday, real-life situations. Both simple and complex parallelisms are to be shown as chief devices in prose as well as poems/verse. Rhyme, capitalization and indenting conventions are some of the features which make verse a unique discourse form.

Stage II

Aim: The aim of this unit is to teach the students how stylistic choices are made and what effect these choices have in the making of literary texts. These choices are to be taught in terms of options along two axes: grammar and lexis. To teach the idea of choice initially lexical collocation will be examined in terms of paradigms of available choices. This will be the first stage. In the second stage of this unit much larger unit of language such as clause or sentence will be taken for study in terms of simple rule-frames. In the final stage texts will be considered in terms of different paraphrase

versions; by operating on one transformation at a time it will be shown what effects it has on the making of the text.

Distribution of the Teaching Points:

Unit 1: This unit will concentrate on the lexical choices available at the group level. The purpose of the exercise is to teach the unconventional nature of lexical collocations in literary texts. Part of the exercises will be devoted to an examination of such features in normal everyday prose. A number of notions in traditional rhetoric such as diction, metaphor, etc. are describable in terms of these collocations.

Unit 2: This unit will extend the notion of choice from the group level to the clause and sentence level. At this stage clause/sentences may be taught as choices/options available in the grammar for conveying similar information content. This is just an attempt to show what limits the grammar sets to conveying a type of information at the clause/sentence level.

Unit 3: This unit takes the notion of choice from the level of sentence to the level of text. Each text will first be decomposed into a set of primary sentence structures, and the effect of transformations--operating on one at a time--will be taught.

Stage III

Aim: The aim of this unit is to teach the students how literary texts diverge from non-literary ones in

terms of their grammatical, lexical and semantic features. This teaching will be carried out mainly by comparison exercises. Main attention will be devoted to syntactic deviation, but this should be a lead to show how literary texts are deviant as a form of discourse. Thus the purpose of this unit will be to draw the learner's attention to specific deviant features in the text leading ultimately to consider it as a deviant form of discourse.

Distribution of the Teaching Points:

Unit 1: The first unit will concentrate on exercises pertaining to specific deviant features of literary texts. These features may be either grammatical or lexical/semantic. This will include exercises on substitution, transposition and distortion, among others.

Unit 2: This unit will be devoted to the extension of the notion of deviation beyond isolated features to the literary discourse as a whole. Attention will be drawn to factors in communication situation other than the code or the message.

Stage IV

Aim: The aim of this unit is to teach the students some methods of evaluating the relevance of linguistic features and patterns for the literary and semantic interpretation of the texts. The first unit will be devoted to differentiation between statistical prominence and foregrounding of features and

patterns in literary texts. The second unit will be devoted to consider differentiation between the marked and the unmarked features in a text. The final step will be to set up cohesion of the foregrounded and marked features as one of the linguistic criteria for semantic interpretation.

Distribution of the Teaching Points:

Unit 1: This unit will be devoted to the teaching of statistical prominence and foregrounded linguistic features. The problems of distinguishing between the two will be presented in terms of exercises on literary texts.

Unit 2: This unit will be devoted to the teaching of marked and unmarked linguistic features in a text. The problems of distinguishing between the two will be presented in terms of exercises on literary texts.

Unit 3: This unit will set up cohesion of foregrounded and marked features as one of the linguistic criteria of relevance for literary interpretation.

Chapter IX

Conclusion

9.1 A number of specific conclusions can be drawn from this study of contemporary models of stylistic analysis. As we saw in Chapter I, the preliminary requirement for a study of this nature, which involves different disciplines at different levels of enquiry, temporarily divided somewhat like two hostile camps, is to approach the issues involved with a spirit of objectivity and enquiry rather than with some a priori assumptions. It is, of course, very easy to blame one or the other camp of prejudice or ignorance or both; but that is unlikely to validate the argument for the infusion of linguistics into literary studies. A number of linguists interested in the literary material have, in the past, given the impression that their literary colleagues are mainly responsible for a lack of interdisciplinary communication. The literary critics and scholars, on the other hand, find that the linguists proclaim heroic aims and deliver unimpressive goods in the end. But there is no dearth of broad-minded scholars in either camp—scholars who, in fact, have pleaded for the necessity of rapproachment between linguistics and literary studies. Nor is there any dearth of literary scholars who, in their own personal way, have studied literary material from a language-oriented point of view. However, this study shows that most pleas for infusing linguistics into literary studies are vague statements of what is desirable rather than concrete programmes of action at any particular stage in the study of literature. In a sense some of these pleas are self-defeating, because given the context of strained public relations between linguists and literary scholars, the type of pleas made, for instance, by

Fowler (1966) and (1971) has had no noticeable impact on the literary opinion. Linguists, such as Fowler, might need to produce a much more concrete and coherent statement of their position than they have so far done. It is not merely a plea or "propaganda on behalf of linguistic theory" or "theorizing" which is needed: what is needed is a programme of action and, above all, a demonstration of the programme at work at some specific stage of the study of literary texts.

9.2 Closely related to the argument for a demonstrable programme is the need for a working or observational framework. One of the major conclusions of this study is that although linguistics, or more specifically, literary stylistics and literary criticism are both concerned in their own ways with the language of literary texts, their approaches to its study and their procedures of analysis and description are different. Because of this difference one possible observational framework is to study both literary stylistics and literary criticism as metalanguages. Because of the necessity of comparing the two disciplines at two separate levels (i.e., at the level of theory and at the level of practice), adopting such a framework becomes a methodological imperative. Therefore, this study adopts Hjelmslev's notion of "degrees of language" as a basic framework with the help of which both literary stylistics and literary criticism are approached as species of metalanguage. Approaching literary stylistics and literary criticism as species of metalanguage has the advantage of assessing the degree of explicitness in their relation as first-degree metalanguage

to the object language on the one hand and to the theory of style as the second-degree metalanguage on the other. The justification of this framework lies in the fact that literary stylistics is considered to be an explicit procedure of stylistic analysis while literary criticism is said to be based on intuitive apprehension of stylistic properties and aesthetic value of literary texts. This claim to explicitness can be assessed--if at all--only by examining the relationship of stylistic or literary analysis with literary texts (object language) on the one hand and the theory of style or criticism (second-degree metalanguage) on the other. Therefore, this study considers the notion of metalanguage, or more specifically 'degrees of language', central to any attempt at an interdisciplinary dialogue between literary criticism and literary stylistics. It is in their function as metalanguage that they can profitably be compared and be shown as basically similar. While in the case of stylistics the nature of relationship between the first-degree metalanguage and the second-degree metalanguage is quite explicit this cannot be said about literary criticism. In a sense, it is the lack of explicitness in the relationship between theory of criticism and literary critical practice which differentiates it from literary stylistics. This in turn leads to a kind of approach to literary texts which becomes inherently intuitive. The literary critic approaches literary texts in the way he does mainly because of the ambiguity of the nature of his metalanguage. If this is so one reliable way to a comparative assessment of the two approaches to stylistic analysis is to assess them as metalanguage.

9.3 Comparing the literary and linguistic approaches to stylistic analysis as metalanguage also reveals a great deal about both as procedures. But in order for a proper evaluation of these procedures it seems necessary to select a certain aspect of the study and/or teaching of literature as a trial area. One of the reasons why in the past several pleas for the infusion of linguistics into literary studies seem to have had little impact is that the pleas were for a desirable or hypothetical area of interdisciplinary contact. This study clearly shows why mere goodwill is not enough. What is needed is a specified area of literary studies to be delimited as a trial zone for a programme of an integrated approach to literary studies. Because of the heterogeneity of literary studies as a field of study such a specification is felt to be necessary. In this study the trial area chosen is the teaching of literature in a non-native context at the pre-university stage. Each of the three components of the trial area--1) the teaching of literature; 2) in a non-native context; 3) at the pre-university stage--helps us to set up specific conditions as the criteria of relevance of literary and linguistic models of stylistic analysis. Without setting up some such requirements it would not be possible to assess the models and their relevance. Prima facie, every model of stylistic analysis is proposed to analyze literary texts, and it should have been assessed as such. But because of the existence of several contending models, deriving their theoretical sustenance from contending literary or linguistic theories--at times from a common theory, the need to assess these models in terms of their adequacy, explicitness and

practicability has been constantly emphasized in this study.

9.4 From what we have said earlier it follows that as far as stylistic analysis is concerned encounter with the text is the most important aspect of the procedure. How is the text analyzed and how much of the text is revealed in the course of the analysis?--a consideration of these fundamental questions leads us to concentrate on the models of stylistic analysis rather than remain satisfied with different theories of style and literary language. In assessing a particular model of stylistic analysis the two questions which we ask, explicitly or implicitly, are: "How does the model analyze literary texts?" and, "How much of these texts are analyzed by the model?" It is in terms of answers to these questions that we arrive at the explicitness, practicability and adequacy of any particular model for our trial area. Evaluating the models in these terms becomes a methodological safeguard because it is as meaningless to talk of "the linguistic approach to literature" as it is to talk of "the literary critical approach to literature." There is a great heterogeneity of available models within literary stylistics as there is within literary criticism. At times, as in the case of the structuralists or the transformational-generative linguists, several different models of stylistic analysis draw upon a common theory of linguistic description. Because of this heterogeneity of approaches this study groups the linguistically-oriented models of style-analysis into three major groups--the structuralists, the Neo-Firthians, and the transformational-generativists. Such a grouping facilitates the scrutinizing of their theoretical underpinning and the

insights this underpinning gives the model and its practitioners. This enables us to assess the relevance of linguistic approaches to style-analysis model by model in specific terms rather than in general.

9.5 This study reveals the nature of theory of criticism as a second-degree metalanguage, particularly in relation to the language of literature. Richards and Empson are regarded as the founders of the method of verbal analysis in literary criticism. But a close scrutiny of their work as a theory of criticism shows what kind of framework it provides in connection with the nature of poetic language. Richards conceives of it mainly in terms of dichotomous distinctions: science versus poetry; idea versus attitude; verifiable versus non-verifiable, and so on. The analysis of the nature of poetic language in terms of the reader-response, too, is motivated by a stimulus-response approach to poetry. Although Richards starts by assuming that poetic meaning is a blend of four different kinds of meaning, the idea of the blend is relegated to the background. It results in what Empson calls "a flat separation of sense from emotion." Richards's own concern for the problem of belief in poetry shows that doctrinal adhesions or technical presuppositions become a serious problem of communication in reading poetry. If one were to take Richards's views seriously there would have been no point in reasoning about ideas in poetry. Richards ends up with a Coleridgean solution: as readers of poetry we suspend our disbelief because in reading poetry if our attention is distracted by ideas in the poem "we have for the moment ceased to be reading and have become astronomers,

or theologians, or moralists, persons engaged in quite a different type of activity." With Empson the focus of the theory shifts from the unobservable world of impulses and the balance between distinguishable impulses to the world of meaning--to the observable meanings as such. In his approach to ambiguity in the language of poetry, Empson is divided between the attractions of his classificatory instinct (his approach to ambiguity is primarily classificatory) and those of his attempts to avoid "gratuitous puzzles of definition." Because of Empson's idiosyncracies in metalinguistic formulations their status as theory is indeterminate. It is not just as a theoretical notion that Empson's work on ambiguity is inexplicit; it is more so as a repertoire of analytical procedures. Besides, his claim that "most of the ambiguities I have considered seem to me beautiful" is a long stride he takes from specific instances to a generalized statement of relationship between ambiguity and beauty. At the same time, it is far from clear how Empson adduces that "if there is contradiction (i.e., in the semantic relationships in the poem) there must be tension (i.e., in the mind of the poet)." The vulnerability of Empson's work on the theoretical side can be summed up with a simple diagram of the following type:

Diagram 1

The poet	The poem	The reader
Tension ⟶	Ambiguity ⟷	Beauty
(Psychological)	(Linguistic-Semantic)	(Aesthetic)

One of the disagreeable consequences of Empson's preoccupation with ambiguity is that it diverts the analyst's

attention from the communicative structure of the message by concentrating entirely upon the polysemy of the code. This in turn leads to the promotion of poetic complexity as a stylistic virtue in itself. As a procedure Empson's analysis begins, not with the query "What is the meaning of X?" but with "How many alternative meanings can one read in X?" Thus although Empson brought the theory of criticism to focus in the right direction, his multiple interests outside the language of poetry appeared to have led him to establish ungainly connection with the mind of the poet or the reader. In language what interested him most was its polysemy which he approached with a classificatory bias of a rhetorician.

9.6 The work of Richards and Empson supplies representative evidence on the state of theory of criticism as a second-degree metalanguage. The relationship of their theory with the literary analyses examined in this study is not direct. But their work is nearest to anything approaching an explicit theory that literary analysis of the type, for instance, Leavis and his disciples practise. The inexplicitness of much of theory of criticism, as evident from the specimens of the work of Richards and Empson, is taken up as a lead to a study of actual models of literary analysis. One always seems to bring something else to judge literature by, and of several things theory of criticism is a crucial component of the literary critic's first-degree metalanguage. It is when the literary critic moves from a purely descriptive, analytical and interpretative function to an evaluative one that his metalanguage is likely to be drawn to "extrinsic"

areas of his personal, technical or doctrinal presuppositions. These presuppositions are assumed to be commonly and equally accessible to the reader as well as to the critic. A number of presuppositions (such as 'sincerity', for instance) are the stock-in-trade of literary approaches to stylistic analysis, but they are of uncertain conceptual and theoretical validity. It is not only such quasi-ethical or aesthetic "extrinsic" notions, but also several intrinsic notions of theory of criticism (such as, for instance, image, metaphor, plot, character, irony, paradox etc.) which are used intuitively in literary analyses. It is almost entirely a matter of the critic's intuition to decide which ones of these notions to use in any particular piece of analysis. Given a set of such notions it is almost entirely a question of personal judgement as to how one needs to use them. Not only does the critic choose intuitively apprehended features to analyze and describe, the critic also chooses an intuitively satisfying metalanguage in which to analyze and describe the yield of his analysis. The specimens of critical analyses on the poetry of Shelley show how two critics (Leavis and Herbert Read), analyzing the same qualities in the poetry of Shelley, arrive at diametrically opposite evaluations of these poetic qualities. The examples of Eliot, Lewis and Wilson Knight, on the other hand, show how literary analyses are often analyses of the poet's ideas or of his personal beliefs, and how these, when not commonly shared by the poet and the critic, seem to colour the critical analysis of poetry as poetry. In course of the analysis of literary criticism as a first-degree metalanguage we have seen how all literary

analyses, as descriptive, interpretative or evaluative functions, depend ultimately upon notions, values and criteria drawn from heterogeneous sources--only some of which are 'intrinsic' to theory of criticism. A number of these notions are, in fact, drawn from theories of aesthetics, ethics, and so on. Richards's study of literary judgement in Practical Criticism is directly relevant in this connection, and of the ten major "hurdles" in responding to poetry which Richards identifies three are closely connected with what we have been concerned with in this study: i.e., technical presuppositions, doctrinal adhesions, and general critical preconceptions. If one approaches literary analyses as a species of first-degree metalanguage it is precisely these presuppositions--technical, critical and general as well as doctrinal adhesions which seem to play a basic role in the analysis and evaluation of literary texts. It is likely that the nature of literary approaches to stylistic analysis can be laid bare by an explicit statement, such as the one attempted by Rene Wellek in connection with Leavis's work, of what choices have been made by the literary critic in terms of doctrinal adhesions, technical presuppositions, and other general preconceptions. If the critic's engagement with the so-called "world of values" is an aspect of the function of literary analysis the need to clarify this engagement cannot be left to be perceived at the level of an esoteric awareness. In a sense, the basic fallacy of literary analysis as a procedure of stylistic analysis is the assumption that once a certain set of presuppositions are made by the critic these become automatically available to the

reader. To approach literary criticism as a first-degree metalanguage is to question the nature of the critic's personal preferences which are made in advance and post hoc arguments, as in the case of Eliot's statement on Shelley's poetry, are presented in an intuitively satisfying meta-language.

9.7 The ambiguities of literary approaches to stylistic analysis, both as metalanguage and as procedure, are one of several incentives for looking in the direction of linguistics for possible clues and corrective insights. This is, of course, more natural than looking elsewhere--particularly in those areas which are not even remotely related to language studies. As a parent science of language linguistics is, as it has been argued more recently, "the global science of verbal structure." At least in part the concern of stylistic analysis is the differentia specifica of verbal structure, and as the global science of verbal structure, linguistics might be in a position to supply the analyst with a much more explicit framework of stylistic analysis in terms of which "differences between messages generated in accordance with the rules of code could be calibrated and identified." This study shows that within linguistics there is no monolithically defined notion of "style in language" or "style in literary texts." The concept of style, as we saw in Chapter IV, is approached in different terms by different schools of linguistics. Some consider it as a verbal structure beyond a sentence; others consider it as a species of language variation; yet others, a set of intratextual patterns. Some approach it in terms of the grammar while others in terms of

lexical opposition and modification; and yet others in terms of the lexico-grammatical relations such as cohesion or coupling. Those who approach style in terms of language variation are sub-divided among the ones who consider style as choice and the ones who consider it as deviation from the norm. The deviationists are themselves further subdivided among those who consider it a local phenomenon (Hill, for instance) and those who consider it a global phenomenon (Levin, for instance). According to other linguists (such as the Neo-Firthians and the Prague School) language varieties, including stylistic ones, are comprehensible only in terms of local norms--determined functionally or contextually. The fact that style is not a discrete level of linguistic analysis certainly has its repercussions on many of the linguistic approaches to style. In any case, within linguistics the study of style may be regarded as an attempt at extending the scope of the grammar, because in studying style, one is attempting to systematize what Hill calls "the area of linguistic arbitrariness" by explaining it in terms of linguistic variation. In linguistic terms, therefore, style is not conceivable in isolation from the notion of the norm, no matter whether the norm is given outside the text or achieved within the text, no matter whether the norm is the grammar, the social conventions, or the intratextual patterns in a given text.

9.8 Since the days of Bally and the Prague School linguists have been emphasizing the fundamental discontinuities between the literary language and the non-literary one. Initially both Bally and the Prague linguists found the dis-

continuity in the aesthetic intention or function of the former. It was not possible to isolate literary language like other varieties--such as the regional, social or occupational dialects because literary language has no conventional norms of appropriacy. Most linguists, including the Prague School, have tried to characterize the language of literature in terms of linguistic devices and patterns it uses. This study shows that literary language as distinct from everyday language or standard language in the Prague sense, is not only a definable notion but also a necessary one in literary stylistics. The discussion in Chapter IV shows that the language of literature has definable linguistic and communication features which have drawn the attention of a number of linguists since the early days of Bally and the Prague School. No matter whether linguists define these features as "intratextual patterns" or simply as "deviance" from the grammatical, conventional or communicative norms--the language of literature is both continuous and discontinuous with everyday language. Consequently, style in literary language is comprehensible only in terms of a global concept of style in language, and literary stylistics as a field of enquiry, only as a subdivision of general stylistics. However, in exploring the various dimensions along which messages may differ it is not necessary to confine oneself to phonology, syntax or lexis as the upper limit of stylistic analysis. In order to assess the function of stylistically marked features in a text a number of other factors in communication situation may deserve equal consideration as variables influencing the function of these features within the totality of the message-

structure. If the scope of literary stylistics is not only the identification, classification and computation of style-features in literary texts, but also the definition of their function in the message, the analyst will have to abandon the purist position of a descritivist. This would mean that he would need to devise approaches which would relate the style-features to their communicative or purposive function in the message.

9.9 The central part of this work, comprising Chapters V, VI, and VII, is concerned with actual pieces of stylistic analyses done by linguists of different theoretical persuasions. Because of their heterogeneity on the one hand and their reliance upon certain specific theoretical positions on the other, it was found necessary to study these models of analysis in groups, depending upon the framework of theory they appeal to as their second-degree metalanguage. It seems somewhat self-defeating to argue about the linguistic analysis of literary texts without referring either to the theory of linguistic description or to the literary text under observation. Stylistic analysis is a text-oriented enterprise, and the merit of the case for linguistic analysis can only be assessed individually. It is not so much the adequacy of the theory--observational, descriptive or explanatory--with which we are concerned immediately; it is the adequacy of the meta-language that the theory provides, both the second-degree and the first-degree ones, for stylistic analysis that we are concerned with. For instance, we saw in Chapter V how Halliday's stylistic analyses are related to his linguistic theories. His

concern for semantics in the later analysis is determined by the change of emphasis in his theory of grammar--i.e., the shift of emphasis from "inherently surface notions" to the "deep grammar" of systemic options. Although in his theory of grammar there is no distinction between the code (as a formal system) and the message (the use of the code in an actual message) Halliday soon comes round to recognize "the special property of literary language." Grammatical and lexical cohesion are only some of the formal properties of a text--only one of several types of intratextual patterns and relations. Halliday's interest in the deep grammar leads him to realize the inadequacies of precise description as a goal of stylistic analysis. What becomes more important thereafter is the problem of distinction between the relevant and the irrelevant linguistic features of a text from the stylistic point of view. The later Halliday rejects some linguistic data as less relevant than others. The fact that Halliday sets up a priori semantic interpretation of the vision of the writer, the subject-matter or the theme of the text as 'the criterion of relevance' raises more problems than it solves. This makes the goal of stylistic analysis an uncertain end. If one knows the subject-matter in advance stylistic analysis becomes merely an ancillary process of confirming, in terms of systemic grammar and statistics, whether a particular a priori interpretation of the text is valid. Besides, when short stretches of text are analyzed in isolation from the long discourse of which they are merely a part, it is difficult to be sure whether the distribution of certain isolated syntactic features are stylistic options or rhetorical choices. While

in early Halliday the claims are confined to the appropriateness of the linguist's metalanguage, in later Halliday the nature of the claims are extended to the appropriateness of the linguist's interpretation. If one knows in advance what the text is about the primary incentive to analyze it must be something other than that of finding out what it is all about.

9.10 Linguists tend to approach literary texts on a programmatic basis--as an agreeable area to demonstrate the validity of their respective models of theory and description. This is particularly true of early structuralist overtures to stylistic analysis as exemplified in Hill's work. His work on Hopkins and Browning gives the impression that 'structure' is a formula which supplies answers to different problems--particularly to the problem of variant readings, and that 'structuralism' consists in overemphasizing outer forms and strict observance in methods and procedures although in the end these methods might deliver plain goods. The structuralist's eagerness to devise a procedure of analyzing literary texts "similar to that of linguistic analysis", at times, leads him to a mechanical application of the notions and procedures derived from the theory of linguistic description--as Hill does George L. Trager's tripartite division of the field of linguistics. On the other hand, the notion of structure itself becomes all too flexible if it is used, as Hill seems to do, merely as a convenient label for collecting circumstantial evidence for the interpretation one favours among different possible ones. This may have been due to the fact that Hill operated within something of a theoretical vacuum, particularly in regard to the language of literature.

It was Jakobson who comes to emphasize the formal properties of the language of poetry as something unique in terms of linguistic structure. The fact that he isolates parallelism as a poetic device and that he does this in terms of a functional model of communication, is a major breakthrough in structural stylistics. He shows how both poetry of grammar and grammar of a poem play major roles in the making of the poem and in producing the poetic device of parallelism. Our study of structuralists shows how different linguists devise different first-degree metalanguages from a common second-degree metalinguistic notion of structure. The basic split is between those who set up the grammar and phonology as the parameters of structure and those who set up lexis alone as an important level of structural analysis. For example, Riffaterre rejects grammar because it is an abstract matrix while poetic structure itself is a concrete relation of contrast between the stylistically marked features and the stylistically neutral context. Secondly, although it was Jakobson who defines the poetic function of language in terms of a functional model of communication-situation, he does not approach stylistic analysis as "a linguistics of the effects of the message, of the output of the act of communication." It is Riffaterre who takes this approach to stylistic analysis. The reader plays a major role as a frame of reference in Riffaterre. Jakobson, on the other hand, confines himself to the message as such. His analysis, unlike Riffaterre's case, is not from "the decoder's point of view." To Riffaterre the basis of a structure is a contrast between a marked stylistic feature and an unmarked linguistic context.

The structure comprises lexical elements "linked by relations of opposition and modification." Thus, as a set of first-degree metalinguistic notions Riffaterre's analytical terminology is very different from Jakobson's or from Levin's. Levin's analysis of the couplings in Shakespeare's Sonnet XXX is typical of American tradition of linguistic analysis, in particular of segmentation and classification in terms of substitution-in-frames. Although on the theoretical side Levin draws upon Jakobson's formulation on parallelism as a poetic function of language, in his analysis of the Shakespearean sonnet Levin seems to represent the basic methodological orientation of structural linguistics more completely than others we have studied. His setting up of positional equivalence classes and natural equivalence classes are reminiscent of the Saussurean syntagms and paradigms, so that what Levin has, in the long run, done is to apply the dual axes analysis to linguistic structures larger than a sentence. In this sense, as we have discussed elsewhere in this work, the notion of coupling is a kind of summum bonum of structural stylistics. Different strands of structuralist overtures to literary analysis come to converge on it. Apart from Levin's claims that couplings make a poem unified and memorable it is not clear what marked structural, stylistic, rhetorical or any contrastive functions they perform in a poem. Would it have made any difference if, for instance, instead of 6 NPs and 3 VPs occurring in two conditional sentences of two parallel if-then syntagms, there were 3 NPs and 6 VPs in several conditional sentences? A distributional statement of micro

features or macro structures is likely to remain, as they do for instance in early Halliday, basically of statistical or formal interest. But it is not necessary that such a distributional statement would reveal relevant data as to the function of these features or structures in the total structure of the sonnet. At least Levin does not invest couplings with any other functional values than that of making the text memorable and unified.

9.11 The linguists following transformational-generative framework have come to approach literary texts with less theoretical inhibitions than the structuralists did in the past decade or so. They came to literary texts with heavy syntactic axes to grind. Their orientation has remained consistently syntactic and their choice of literary material for analysis has been for the deviant and experimental texts. The problem of the stratification of utterances into degrees of grammaticalness is what attracted these linguists to literary texts in the first place. It was a methodological side-issue of generative grammars which was exemplified by using isolated sequences from poetic corpus--as attested language events not covered by the grammar. For Levin and Thorne the problem is of accommodating the attested deviant sequences without complicating the grammar so that it does not generate what they call "unwanted sentences" such as <u>they thumped their hads</u> or sequences such as <u>tall did</u>, <u>enthusiastic did</u>, and so on. The primary second-degree metalinguistic notion here may be said to be syntactic deviance. Rules of the grammar are the norm against which violations of specific rules are examined as stylistic devices

or features. But the fact that grammar is adopted as the norm or a global norm is somewhat self-defeating, because if a rule is violated for stylistic purpose the effect must be local and specific in consequence, rather than global and general for the language as a whole. In approaching these violations as problems of the grammar rather than as stylistic devices, the generative grammarians are using problems of the sample as the features of the language. Fundamental to generative grammars is the notion of rule, and in drawing upon the notion of rule one is drawing upon an abstract matrix--a matrix which is in essence a linear structure. In approaching texts, particularly literary texts, in terms of violations of the deep structure rules (such as strict sub-categorization and selectional restrictions) one is referring the concrete elements of a message back to the abstract formal elements of the code. But the grammar as such has no way of differentiating which rules, when dislocated, produce greater stylistic effects. This would have been possible, if at all, only by referring the grammatical rules forward to the text and their rhetorical function in the textual context, than by referring them back to the grammar.

9.12 Although operating within the metalanguage of transformational-generative grammar, and more specifically within that of transformational rules, the transformationalists confine their attention, not to the deep structure rules and their violation, but to the transformational rules which map the output of the deep structure on to the surface organization of text sentences. Here style is approached in terms of a metalanguage of rule-typology and choice of rule-

types. Transformations enable a writer to choose from among different available versions of surface syntactic organization of a sentence, giving differential prominence to various components in the surface form. Thus the important metalinguistic notion in this approach is not deviance in terms of violation of rules of grammar, but in terms of choice of a rule-type as a stylistic device. Working within this framework, Ohmann and Hayes make use of all the three key notions of transformational-generative grammar, i.e., deep structure, surface structure, and transformations. They take the view that choice is the basis of style, yet choice in their sense is from among the options open in the available alternative rules for expressing the same deep structure or semantic content. As we saw in 7.4.4, style in language involves choices along both syntagmatic axis and paradigmatic axis. The transformationalists confine their analysis only to the syntagmatic axis, leaving the lexical choices from the paradigmatic axis completely out. Besides, by confining the analysis to the syntactic level they are also limiting the notion of style within the upper limit of a sentence. By adopting the metalanguage of syntax the transformationalists reduce the notion of style to the output of a fixed set of grammatical rules. Although they consider style as a choice phenomenon, by limiting it to the level of syntax they reduce it to the utmost minimum of choices available in the intrinsically fixed set of grammatical rules.

9.13 Thus a close scrutiny of models of stylistic analysis, literary as well as linguistic ones, is rewarding

for students of literary style. Among other things, it shows where the interdisciplinary hopes of integrated approach to the study and teaching of literature are likely to stand and where they are likely to fall. One major finding of this study is that linguistic models of stylistic analysis are not as monolithic as some literary scholars seem to assume. There is a wide variety of views and approaches, though not perhaps as wide as among the literary models. Even among those who draw inspiration from a common theory of linguistic description it is not unusual to have quite divergent views on what constitutes style. Much of the diversity is, of course, a carry-over from the existence of several contending models of linguistic description in modern linguistics. Most of the analyses are spin-off from a particular model of linguistic description, and stylistic analysis is attempted as a kind of validation exercise by linguists. For us one prospect is of approaching stylistic analysis primarily as a set of procedures for analyzing texts. No matter what the theory underlying the procedure is, its merit must be evaluated and demonstrated in terms of actual pieces of analysis. The procedure cannot be passively accepted on grounds of authority of the theory inspiring it. In other words, the value of a model must be demonstrable: it cannot be presumed, particularly on the credentials of the theory. At the same time, the present study shows that in order to set up certain definable evaluation measures for models of stylistic analysis we need to define the goals of stylistic analysis: what do we, in the long run, expect from a model of stylistic analysis?

9.14 We saw how the teaching of English literature in a non-native context might serve the purpose of a much-needed trial area for infusing linguistics into literary studies and at the same time for testing the adequacy, explicitness and practicability of different models of stylistic analysis. It is a context where the need of explicitness is not hypothetical but real. At the same time pedagogy is one field where maintaining the purity of a theory is less important than the final result obtained by applying a proposal. Thus different models of stylistic analysis, literary as well as linguistic, can be drawn upon in an eclectic fashion for an integrated programme of teaching literature. Pedagogy of literature is one field where the prospects of integration between literary stylistics and literary studies seem real rather than hypothetically desirable, because as an area of application of linguistics here one cannot afford to be exclusive or pollution-conscious in terms of one or other theory. Because of the applied linguist's preccupation with a problem-based activity (which is what ultimately language teaching is), he can draw upon different sets of procedures of stylistic analysis irrespective of their theoretical orientation. Each model can thus be regarded on its merit as an answer to a specific teaching problem. The teaching programme itself, as suggested in Chapter VIII, can be broken down into a series of such problems. In terms of the prospect of integrating linguistic and literary models of stylistic analysis this study shows that the level where this is most likely to be feasible is what Corder calls "third order

applications of linguistics"[1] in language pedagogy, i.e., in organization and presentation of the content of syllabus and in preparing teaching materials. In some sense this is a perfectly valid ground to test the viability of various models of stylistic analysis because, in the last analysis, the value of a model of stylistic analysis is the range of insight it offers on the text and the range of texts on which it can be applied as a set of explicit procedures.

9.15 At least as long as the present state of mutual exclusiveness and distrust prevails between the scholars belonging to "two camps" it is highly unlikely that in the near future literary studies will make any breakthrough in the direct use of the insights and methods made available by the repertoire of linguistically-oriented analyses of style. Both literary critics and linguists will need to give up the present counter-productive isolationist position, and in place of the present hostilities, as exemplified in the exchanges between Fowler and Bateson and Fowler and Kermode, what is needed is a dialogue between scholars from both the disciplines on an area of common interest, such as the language of literature, so that both could contribute and assess each other's contribution in terms of some definable criteria and goals. In the past at least part of the reasons for frequent misunderstandings is the ambiguity and extravagance of the claims made by linguists. The case for integration is unlikely to gain any new strength by mere claims. The case stands or

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1 S. Pit Corder, Introducing Applied Linguistics (Harmondsworth: Penguin, 1973), pp. 137ff.

falls with the amount of fresh illumination the linguistic study of literary texts can bring to those features and properties of literary texts which have remained inaccessible to literary critics, or have remained accessible only in terms of inexplicit or intuitive metalanguage.

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Appendixes

Appendix A: The Nominal Groups and Cohesion in Two Prose Extracts from James Joyce and Henry James

Extract A

A girl stood before him in midstream, alone and still, gazing out to sea. She seemed like one whom magic had changed into the likeness of a strange and beautiful seabird. Her long slender bare legs were delicate as a crane's and pure save where an emerald trail of seaweed had fashioned itself as a sign upon the flesh. Her thighs, fuller and softhued as ivory, were bared almost to the hips, where the white fringes of her drawers were like feathering of soft white down. Her slateblue skirts were kilted boldly about her waist and dovetailed behind her. Her bosom was as a bird's, soft and slight, slight and soft as the breast of some darkplumaged dove. But her long fair hair was girlish: and girlish, and touched with the wonder of mortal beauty, her face.

James Joyce: A Portrait of the Artist as a Young Man. (Travellers Library Edition, 1942), p. 195.

Extract B

She stared into the tarnished glass too hard indeed to be staring at her beauty. She readjusted the poise of her black, closely-feathered hat; retouched, beneath it, the thick fall of her dusky hair; kept her eyes, aslant, no less on her beautiful averted than on her beautiful oval. She was dressed altogether in black, which gave an even tone, by contrast, to her clear face and made her hair more harmoniously dark. Outside, on the balcony, her eyes showed as blue; within, at the mirror, they showed almost as black. She was handsome, but the degree of it was not sustained by items and aids; a circumstance moreover playing its part at almost any time in the impression she produced.

Henry James: The Wings of the Dove: Chapter I pp. 5-6 (New York, Charles Scribner's Sons, 1945).

The Nominal Groups and their Structure in the Joyce extract:

Total number of nominal groups 24

Group	Structure
A girl	Deictic + lexical head
him	pronominal head
sea	lexical head
She	pronominal head
one	pronominal head
magic	lexical head
the likeness of a strange and beautiful seabird	deictic + lexical head + qualifier (deictic + modifier + lexical head)
Her long slender bare legs	deictic + modifier + lexical head
a crane's (legs)	deictic + modifier + (lexical head)
an emerald trail of seaweed	deictic + modifier + lexical head + qualifier
a signal upon the flesh	deictic + lexical head + qualifier (deictic + lexical head)
Her thighs fuller and soft-hued as ivory	deictic + lexical head + qualifier
the hips	deictic + lexical head
the white fringes of her drawers	deictic + modifier + lexical head + qualifier
feathering of soft white down	lexical head + qualifier
Her slateblue skirts	deictic + modifier + lexical head
her waist	deictic + lexical head
her	pronominal head
Her bosom	deictic + lexical head
a bird's (bosom)	deictic + modifier + (lexical head)
the breast of some dark plumaged dove	deictic + lexical head + qualifier (sub-modifier + modifier + lexical head)
her fair hair	deictic + modifier + lexical head
the wonder of mortal beauty	deictic + lexical head + qualifier (modifier + lexical head)
her face	deictic + lexical head

Cohesion in the Joyce Extract

A: Grammatical Cohesion

1. Structural (Clause in Sentence Structure)

a) Dependence

i) She seemed like one whom magic had changed into the likeness of a strange and beautiful seabird.

ii) Her long slender bare legs were delicate as a crane's and pure save where an emerald trail of seaweed had fashioned itself as a sign upon the flesh.

iii) Her thighs, fuller and softhued as ivory, were bared almost to the hips, where the white fringes of her drawers were like feathering of soft white down.

b) Co-ordination

i) Her slateblue skirts were kilted boldly about her waist and (they were) dovetailed behind her.

ii) But her long fair hair was girlish; and girlish, and (it was) touched with the wonder of mortal beauty, her face.

2. Non-Structural

a) Anaphora (Reference)

she, her, the (hips) - i) deictics (and Sub-modifiers)

ii)

b) Substitution

A girl → she → one, (she seemed like one)

an emerald trail of seaweed → itself,

crane's legs → crane's (legs)

bird's legs → bird's (bosom)

} all nominal substitution

B: Lexical Cohesion

a) Repetition of items

girl; girlish; soft, slight

b) Occurrence of items from same lexical set

Set x: midstream, sea, seabird, crane, trail of seaweed, feathering, birds, darkplumaged dove.

Set y: legs, the flesh, thighs, skirts, **fringes of drawers, waist, bosom,** breast, hair, face, beauty.

Set z: beautiful, slender, bare; strange, **alone, still delicate, pure,** softhued, ivory, white, soft, slight, **slateblue, dark-plumaged, girlish,** mortal.

Eden Grove Bond TUB SIZED

The Nominal Groups and Their Structure in the Henry James Extract:

Total number of nominal groups 24

Group	Structure
She	pronominal head
the tarnished glass	deictic + modifier + lexical head
her beauty	deictic + lexical head
the poise of her black, closely-feathered hat	deictic + lexical head + qualifier (deictic + modifier + lexical head)
it	pronominal head
the thick fall of her dusky hair	deictic + modifier + lexical head + qualifier (deictic + modifier + lexical head)
her eyes	deictic + lexical head
her beautiful averted (eye)	deictic + modifier + (lexical head)
her beautiful oval (eye)	deictic + modifier + (lexical head)
She	pronominal head
an even tone	deictic + modifier + lexical head
her clear face	deictic + modifier + lexical head
her hair	deictic + lexical head
the balcony	deictic + lexical head
her eyes	deictic + lexical head
the mirror	deictic + lexical head
She	pronominal head
the degree of it (handsomeness)	deictic + lexical head + qualifier
items and aids	lexical head
a circumstance	deictic + lexical head
its part	deictic + lexical head
any time	deictic + lexical head
the impression	deictic + lexical head
she	pronominal head

Cohesion in the Henry James Extract

A: Grammatical Cohesion

1. Structural (Clauses in Sentence Structure)

a) Dependence.

i) She was dressed altogether in black, which gave an even tone, by contrast, to her face, and (which) made her hair harmoniously dark.

ii) a circumstance moreover playing its part at almost any time in the impression she produced

b) Co-ordination

i) She readjusted the poise of her black, closely feathered hat; retouched, beneath it, the thick fall of her dusky hair, kept her eyes, aslant, no less on her beautiful averted, than on her beautiful oval (4 clauses)

ii) Outside, on the balcony, her eyes showed as blue; within, at the mirror, they showed almost as black.) cohesion by structural parallelism (?)

iii) She was handsome, but the degree of it was not sustained by items and aids.

2. Non-Structural

a) Reference (anaphora)

i) diectics (and sub-modifier)
she, her, it - 4, 6, 2

b) Substitution

i) Nominal
hat → it
her eyes → they
handsome(ness) → it
circumstance → its

B: Lexical Cohesion

a) Repetition of items

stared into, staring at / black (hat), black (dress),
showed, showed / black (eyes)

b) Occurrence of items from same lexical set

Set A: face, hair, hat, eyes, dress, glass items and aids
Set B: beautiful, clear, dusky, dark, harmoniouslv, blue, handsome, black, thick
Set C: tone, impression
Set D: circumstance, time
Set E: mirror, balcony.

Comparison of the two extracts from James Joyce and Henry James.

	Joyce	Henry James
Nominal Groups Total	24	24
Nominal Groups with Lexical heads	19	19
" " with M/Q (lexical)	13	8
" " with Deictics	17	18
Head from 'body' Set (i.e., Set A in Henry James and Set y in Joyce)	15	8
Lexical Items in M/Q Set (i.e., Set B in Henry James and Set z in Joyce)	18	8

Comments

Both extracts have nearly equal number of nominal groups, the nominal groups with lexical heads and the ones with deictics. It is in the number of nominal groups with lexical M/Q that the two extracts differ. The Joyce extract has 13 while the Henry James one has only 8. The two extracts differ also in their use of the lexical head from 'body' set: Joyce 15 and Henry James 8.

The two extracts diverge most widely in the use of lexical items from M/Q Set. Joyce uses 18 different items; Henry James uses only 8.

There are some linguistic features which are striking in the extracts though these features are not of direct interest in the Hallidayan model of textual analysis considered here. For instance, Henry James makes use of each construction as "too hard to be," "no less than," and there is a liberal use of such elements (connectives, sub-modifiers and 'logical' modifiers) as "altogether," "moreover," "besides," "almost." Henry James also uses such rhetorical devices as parenthesis and parallel structure.

James Joyce does not use any connectives other than "and" and "but." He uses repetition (e.g., "soft and slight, slight and soft"; "her long fair hair was girlish; and girlish," etc.) He also uses a number of lexical compounds such as "softhued," "dark-plumaged" "slate-blue". The last sentences of both the extracts are, in this sense, stylistically representative of the extracts.

Appendix B: The Nominal Groups, the Verbal Groups and Deictics in Yeats's *The Second Coming* and Sylvia Plath's *Sculptor*

The Second Coming

William Butler Yeats

Turning and turning in the widening gyre
The falcon cannot hear the falconer;
Things fall apart; the centre cannot hold;
Mere anarchy is loosed upon the world,
The blood-dimmed tide is loosed, and everywhere
The ceremony of innocence is drowned;
The best lack all conviction, while the worst
Are full of passionate intensity.

Surely some revelation is at hand;
Surely the Second Coming is at hand.
The Second Coming! Hardly are those words out
When a vast image out of *Spiritus Mundi*
Troubles my sight: somewhere in sands of the desert
A shape with lion body and the head of a man,
A gaze blank and pitiless as the sun,
Is moving its slow thighs, while all about it
Reel shadows of the indignant desert birds.
The darkness drops again; but now I know
That twenty centuries of stony sleep
Were vexed to nightmare by a rocking cradle,
And what rough beast, its hour come round at last,
Slouches towards Bethlehem to be born?

Sculptor

Sylvia Plath

To his house the bodiless
Come to barter endlessly
Vision, wisdom, for bodies
Palpable as his, and weighty.

Hands moving more priestlier
Than priest's hands, invoke no vain
Images of light and air
But sure stations in bronze, wood, stone.

Obdurate, in dense-grained wood,
A bald angel blocks and shapes
The flimsy light; arms folded
Watches his cumberous world eclipse

Inane worlds of wind and cloud.
Bronze dead dominate the floor,
Resistive, ruddy-bodied,
Dwarfing us. Our bodies flicker

Toward extinction in those eyes
Which, without him, were beggared
Of place, time, and their bodies.
Emulous spirits make discord,

Try entry, enter nightmares
Until his chisel bequeaths
Them life livelier than ours,
A solider repose than death's.

Total number of nominal groups in Yeats's The Second Coming — 40

A:	Total number of nominal groups with specific deictics	21	(17 with 'the')
	Total number of nominal groups with a modifier	6	(5 with 'the')
	Total number of nominal groups with a qualifier	2	(2 with 'the')
	Total number of nominal groups with a modifier and a qualifier	X	
	Total number of nominal groups without modifier and qualifier	13	(10 with 'the')
B:	Total number of nominal groups with non-specific deictics	5	
	Total number of nominal groups with a modifier	1	
	Total number of nominal groups with a qualifier	1	
	Total number of nominal groups with a modifier and a qualifier	1	
	Total number of nominal groups without modifier and qualifier	2	
C:	Total number of nominal groups without deictics	14	
	Total number of nominal groups with a modifier	4	
	Total number of nominal groups with a qualifier	2	
	Total number of nominal groups with a modifier and a qualifier	1	
	Total number of nominal groups without modifier and qualifier	7	
D:	Total number of nominal groups with specific deictic 'the'	17	
	Anaphoric 'the'	1	('The Second Coming,' Line 11
	Cataphoric 'the'	7	(all instances of 'the' in M and Q columns and 'the head' in line 14)
	Homophoric 'the'	9	(all instances of 'the' in -M/ column except 'the head' in line 14).

Comment:

The nominal groups with deictics are significantly large (26 out of 40). Of these nominal groups 21 are with specific deictics (17 are with the). Among these nominal groups those with homophoric use of the are almost as numerous as those with cataphoric use of the. There is only one use of anaphoric the.

Deixis in nominal groups in Yeats's The Second Coming

Deictics	M	Q	MQ	-M/Q
+ D Specific	the widening gyre the blood-dimmed tide the Second Coming the Second Coming its slow thighs the indignant desert birds	the ceremony of innocence the head of a man		the falcon the falconer the centre the world the best the worst those words my sight the darkness its hour the sun the desert the head
+ D non-specific	a rocking cradle	a gaze blank and pitiless as the sun a shape with lion body	a vast image out of Spiritus Mundi	a man a shape
-D	lion body stony sleep passionate intensity rough beast	sands of the desert shadows of the indignant desert birds	twenty centuries of stony sleep	things anarchy conviction revelation nightmare Bethlemen Spiritus Mundi

The Distribution of verbal items in Yeats's The Second Coming

		Items in verbal group (i.e. functioning as 'predicator' in clause structure)				Items in nominal group (i.e. not functioning as predicator)
	1	2	3	4	5	6
(a)	Independent	Dependent		Qualifying (Rankshifted)		inapplicable
(b)	Finite	Finite	Non-Finite	Finite	Non-Finite	
	(cannot)hear fall apart (cannot)hold (is)loosed (is)loosed (is)drowned lack is is are (is)moving drops know slouches	troubles reel (were) vexed	turning turning come round (to be) born			widening rocking
	The cline of	verbality in two Yeats poems				
The Second Coming	14	3	4	x	x	2 = 23
Leda and the Swan	5	2	3	x	5	4 = 19

Total number of nominal groups in Sylvia Plath's Sculptor 36

A:	Total number of nominal groups with specific deictics	9 (3 with 'the')	
	Total number of nominal groups with a modifier	2	
	Total number of nominal groups with a qualifier	x	
	Total number of nominal groups with a modifier and a qualifier	x	
	Total number of nominal groups without modifier and qualifier	7	
B:	Total number of nominal groups with non-specific deictics	2	
	Total number of nominal groups with a modifier	2	
	Total number of nominal groups with a qualifier	x	
	Total number of nominal groups with a modifier and a qualifier	x	
	Total number of nominal groups without modifier and qualifier	x	
C:	Total number of nominal groups without deictics	25	
	Total number of nominal groups with a modifier	5	
	Total number of nominal groups with a qualifier	2	
	Total number of nominal groups with a modifier and a qualifier	2	
	Total number of nominal groups without modifier and qualifier	16	
D:	Total number of nominal groups with specific deictic 'the'	3	
	Anaphoric 'the'	1	('the floor,' line 14)
	Cataphoric 'the'	1	('the flimsy light,' line 11)
	Homophoric 'the'	1	('the bodiless,' line 1)

Comment:

There is a high density of nominal groups without deictics (25 out of 36). Of these nominal groups 16 are lexical heads without deictic, modifier and qualifier. The title of the poem is a significant indicator of this grammatical feature of the poem.

Deixis in nominal groups in Sylvia Plath's Sculptor

Deictics	M	Q	MQ	-M/Q
+ D Specific	the flimsy light his cumberous world			his house the bodiless the floor Our bodies those eyes their bodies his chisel
+ D non-specific	a bald angel a solider repose			
-D	priest's hands sure stations dense-grained wood emulous spirits death's (repose)	arms folded bronze dead	vain images of light and air inane worlds of wind and cloud	vision wisdom bodies brands light air bronze wood stone extinction place time discord entry nightmares life

The Distribution of verbal items in Sylvia Plath's Sculptor

		Items in verbal group (i.e., functioning as 'predicator' in clause structure)				Items in nominal groups (i.e. not functioning as predicator)
	1	2	3	4	5	6
(a)	Independent	Dependent		Qualifying (Rankshifted)		inapplicable
(b)	finite	finite	non-finite	finite	non-finite	
	come move invoke blocks shapes watches dominate flicker make try enter bequeaths	(were)beggared	eclipse dwarfing			moving folded
	12	1	2	x	x	2

A Comparison of the use of specific deictic *the*

in

Sylvia Plath's *Sculptor* and Yeats's *The Second Coming*

Total number of nominal groups	36	40
Total number of nominal groups with specific deictic 'the'	3	17
Anaphoric *the*	1	1
Cataphoric *the*	1	8
Homophoric *the*	1	9

Appendix C: Transitivity and Clause-Types in Golding's *Lord of the Flies*

Passage A.

Ralph stood, one hand against a grey trunk, and screwed up his eyes against the shimmering water. Out there, perhaps a mile away, the white surf flinked on a coral reef, and beyond that the open sea was dark blue. Within the irregular arc of coral the lagoon was still as a mountain lake,—blue of all shades and shadowy green and purple. The beach between the palm terrace and the water was a thin bow-stave, endless apparently, for to Ralph's left the perspectives of palm and beach and water drew to a point at infinity; and always, almost visible, was the heat.

He jumped down from the terrace. The sand was thick over his black shoes and the heat hit him. He became conscious of the weight of clothes, kicked his shoes off fiercely and ripped off each stocking with its elastic garter in a single movement. Then he leapt back on the terrace, pulled off his shirt, and stood there among the skull-like coco-nuts with green shadows from the palms and the forest sliding over his skin. He undid the snake-clasp of his belt, lugged off his shorts and pants, and stood there naked, looking at the dazzling beach and the water.

He was old enough, twelve years and a few months, to have lost the prominent tummy of childhood; and not yet old enough for adolescence to have made him awkward. You could see now that he might make a boxer, as far as width and heaviness of shoulders went, but there was a mildness about his mouth and eyes that proclaimed no devil. He patted the palm trunk softly; and, forced at last to believe in the reality of the island, laughed delightedly again and stood on his head. He turned neatly on to his feet, jumped down to the beach, knelt and swept a double armful of sand into a pile against his chest. Then he sat back and looked at the water with bright excited eyes.

William Golding: *Lord of the Flies*: Chapter I: 'The Sound of the Shell' (Faber, 1954), pp. 14-15.

Passage B.

Ralph screamed, a scream of fright and anger and desperation. His legs straightened, the screams became continuous and foaming. He shot forward, burst the thicket, was in the open, screaming, snarling, bloody. He swung the stake and the savage tumbled over; but there were others coming towards him, crying out. He swerved as a spear flew past and then was silent, running. All at once the lights flickering ahead of him merged together, the roar of the forest rose to thunder and a tall bush directly in his path burst into a great fan-shaped flame. He swung to the right, running desperately fast, with the heat beating on his left side and the fire racing forward like a tide. The ululation rose behind him and spread along, a series of short sharp cries, the sighting call. A brown figure showed up at his right and fell away. They were all running, all crying out madly. He could hear them crashing in the undergrowth and on the left was the hot, bright thunder of the fire. He forgot his wounds, his hunger and thirst, and became fear; hopeless fear on flying feet, rushing through the forest towards the open beach. Spots jumped before his eyes and turned into red circles that expanded quickly till they passed out of sight. Below him, someone's legs were getting tired and the desperate ululation advanced like a jagged fringe of menace and was almost overhead.

He stumbled over a roof and the cry that pursued him rose even higher. He saw a shelter burst into flames and the fire flapped at his right shoulder and there was the glitter of water. Then he was down, rolling over and over in the warm sand, crouching with arm up to ward off, trying to cry for mercy.

William Golding: Lord of the Flies:
Chapter XII: 'Cry of the Hunters'
(Faber, 1954), pp. 245-246.

PASSAGE A

No.	Clause	Type	
1a	Ralph stood, one hand against a grey trunk	Intransitive	Clause of Action
b	and (Ralph) screwed up his eyes against the shimmering water	Transitive	Action
2a	Out there, perhaps a mile away, the white surf flinked on a coral reef	Intransitive	Action
b	beyond that the open sea was dark blue	Intransitive	Relation (Attributive)
3a	Within the irregular arc of coral the lagoon was still as a mountain lake,-blue of all shades and shadowy green and purple	Intransitive	Relation (Attribution)
4a	The beach between the palm terrace and the water was a thin bow-stave, endless, apparently	Intransitive	Relation (Attribution)
b	for to Ralph's left the perspectives of palm and beach and water drew to a point at infinity	Intransitive	Action
c	always, almost visible, was the heat	Intransitive	Relation (Attribution)
5a	He jumped down from the terrace	Intransitive	Action
6a	The sand was thick over his black shoes	Intransitive	Relation (Attribution)
b	the heat hit him	Transitive	Action
7a	He became conscious of the weight of clothes	Intransitive	Mental process (Perception)
b	(he) kicked his shoes off fiercely	Transitive	Action
c	(he) ripped off each (of) stocking with its elastic garter in a single movement	Transitive	Action

PASSAGE A (contd.)

No.	Clause	Type	
8a	Then he leapt back on the terrace	Intransitive	Clause of Action
b	(he) stood there among the skull-like coco-nuts with green shadows from the palms and the forest sliding over his skin	Intransitive	Location
9a	He undid the snake-clasp of his belt	Transitive	Action
b	(he) lugged off his pants and shorts	Transitive	Action
c	(he) stood there naked, looking at the dazzling beach and the water	Intransitive	Location (?)
10a	He was old enough, twelve years and a few months, to have lost the prominent tummy of childhood	Intransitive	Relation (Attribution)
b	(he was) not yet old enough for adolescence to have made him awkward	Intransitive	Relation (Attribution)
11a	You could see (if) now	Transitive	Mental Process
b	(that) he might make a boxer	Intransitive	Relation (Attribution)
c	as far as width and heaviness of shoulders went	Intransitive	Relation (?)
d	but there was a mildness about his mouth and eyes	Intransitive	Possession
e	(the wildness about his mouth and eyes) proclaimed no devil	Transitive	Mental Process(?)
12a	He patted the palm trunk softly	Transitive	Action
b	(he), forced at last to believe in the reality of the island, laughed delightedly again	Intransitive	Mental Process (Reaction)
c	(he) stood on his head	Intransitive	Action

PASSAGE A (Contd.)

No.	Clause	Type	
13a	He turned neatly on to his feet	Intransitive Clause of	Action
b	(he) jumped down to the beach	Intransitive	Action
c	(he) knelt	Intransitive	Action
d	(he) swept a double armful of sand into a pile against his chest	Transitive	Action
14a	The he sat back	Intransitive	Action
b	(he) looked at the water with bright excited eyes	Transitive	Mental Process (Perception)

PASSAGE A

Numerical Ref. to the text	Participant		Action					
	Human	Inanimate	Intransitive	Transitive	Location/ Possession	Mental Process	Attribution	Equation/other
1a	x		x					
b	x			x				
2a		x	x					
b		x	x				x	
3a		x	x				x	
4a		x	x				x	
b		x	x					
c		x	x				x	
5a	x		x					
6a		x	x				x	
b		x		x				
7a	x		x			x		
b	x			x				
c	x			x				
8a	x		x					
b	x		x		x			
9a	x			x				
b	x			x				
c	x		x		x			
10a	x		x				x	
b	x		x				x	
11a	x			x		x		
b	x		x				x	
c		x	x				x	
d		x	x		x			
e		x		x		x		
12a	x			x				
b	x		x			x		
c	x		x					
13a	x		x					
b	x		x					
c	x		x					
d	x			x				
14a	x		x					
b	x			x				
Total Clauses 35	24	11	24	11	3	5	9	x

PASSAGE B

No.	Clause	Type		
1a	Ralph screamed, a scream of fright and anger and desperation	Intransitive	Clause of	Action
2a	His legs straightened	Intransitive		Action
b	the screams became continuous and foaming	Intransitive		Relation (Attribution)
3a	He shot forward	Intransitive		Action
b	(he) burst the thicket	Transitive		Action
c	he was in the open, screaming, snarling, bloody	Intransitive		Location
4a	He swung the stake	Transitive		Action
b	the savage tumbled over	Intransitive		Action
c	but there were others coming towards him, crying out	Intransitive		Action
5a	He swerved	Intransitive		Action
b	a spear flew past	Intransitive		Action
c	then (he) was silent - running	Intransitive		Relation (Attribution)
6a	All at once the lights flickering ahead of him merged together	Intransitive		Action
b	the roar of the forest rose to thunder	Intransitive		Action
c	a tall bush directly in his path burst into a great fan-shaped flame	Intransitive		Action
7a	He swung to the right, running desperately fast, with the heat beating on his left side and the fire racing forward like a tide	Intransitive		Action
8a	The ululation rose behind him	Intransitive		Action
b	the ululation spread along, a series of short sharp cries, the sighting call	Intransitive		Action
9a	A brown figure showed up at his right	Intransitive		Action
b	(the brown figure) fell away	Intransitive		Action

PASSAGE B (Contd.)

No.	Clause	Type	
10a	They were all running	Intransitive	Clause of Action
b	they were all crying out madly	Intransitive	Action
11a	He could hear them crashing in the undergrowth	Transitive	Mental Process
b	On the left was the hot, bright thunder of the fire	Intransitive	Location
12a	He fotgot his wounds, his hunger and thirst	Transitive	Mental Process
b	(he) became fear; hopeless fear on flying feet, rushing through the forest towards the open beach	Intransitive	Relation (Attribution)
13a	Spots jumped before his eyes	Intransitive	Action
b	(spots) turned into red circles	Intransitive	Action
c	(red circles) expanded quickly	Intransitive	Action
d	till they passed out of sight	Intransitive	Action
14a	Below him, someone's legs were getting tired	Intransitive	Relation (Attribution)
b	the desperate ululation advanced like a jagged fringe of a menace	Intransitive	Action
c	(the desperate ululation) was almost overhead	Intransitive	Location
15a	He stumbled over a root	Intransitive	Action
b	the cry rose even higher	Intransitive	Action
c	(the cry) pursued him	Transitive	Action
16a	He saw a shelter burst into flames	Transitive	Mental Process
b	the fire flapped at his right shoulder	Transitive	Action (?)
c	there was the glitter of water	Intransitive	Location
17a	Then he was down, rolling over and over in the warm sand, crouching with arm up to ward off, trying to cry for mercy	Intransitive	Relation (Attribution)

PASSAGE B

Numerical Ref. to the text	Participant		Action					
	Human	Inanimate	Intransitive	Transitive	Location/ Possession	Mental Process	Attribution	Equation/ Other
1a	x		x					
2a	x		x					
b		x	x				x	
3a	x		x					
b	x			x				
c	x		x		x			
4a	x			x				
b	x		x					
c	x		x					
5a	x		x					
b		x	x					
c	x		x				x	
6a		x	x					
b		x	x					
c		x	x					
7a	x		x					
8a		x	x					
b		x	x					
9a		x	x					
b		x	x					
10a	x		x					
b	x		x					
11a	x			x		x		
b		x	x		x			
12a	x			x		x		
b	x		x				x	
13a		x	x					
b		x	x					
c		x	x					
d		x	x					
14a	x		x			x		
b		x	x					
c		x	x		x			
15a	x		x					
b		x	x					
c		x		x				
16a	x			x		x		
b		x		x				
c		x	x		x			
17a	x		x				x	
TOTAL 40	20	20	33	7	4	4	4	

FREQUENCIES OF TRANSITIVITY CLAUSE TYPES

COMPARISON OF PASSAGE A & B

	Total Clauses	Participant		Action		Location/ Possession	Mental Process	Attri- bution	Equation/ Other
		Human	Inanimate	Intran- sitive	Tran- sitive				
PASSAGE A	35	24	11	24	11	3	5	9	
PASSAGE B	40	20	20	33	7	4	4	4	

Comment.

In Passage B out of 7 transitive clauses (out of 40 total clauses) only 5 have human participants in subject position. 3 are clauses of mental process. The ratio between human and inanimate participants is 1:1 in Passage B while it is more than 1:2 in Passage A.

Appendix D: Suggested Teaching Materials.

Stage I

Unit 1:

Teaching Points: Recognition of Specific Patterns and Features in Texts.

Suggested Texts:

a) Non-Literary Prose
Orwell, The Road to Wigan Pier, 202-4.

b) Literary Prose
Lawrence, A Modern Lover (Extract from Hill & May, pp. 60-61).

c) Poem: "The Bad Thing" by John Wain (Higher English Study Book 2 Ed. Ronald Mackin and D. Carver, p. 144).

Unit 2:

Teaching Points: Cohesive Devices in Text.

Suggested Texts:

a) Penguin English Reader Edited by Albert Levine (1971), pp. 107-108, Extract 65 from Maurice Punch in New Society, 28 March 1968.

b) Penguin English Reader Edited by Albert Levine, pp. 55-57, Extract 34. from H.J. Eysenck, Uses and Abuses of Psychology, (Penguin, 1953).

c) E.M. Forster, "What I Believe." Two Cheers for Democracy, London: Arnold, 1951, p. 77.

d) J. Conrad, "The End of a Burning Ship," an extract from Youth, in Literary Comprehension and Appreciation Pieces, ed. L.A. Hill and D.J. May (London: OUP, 1963), pp.4-5.

e) Stephen Spender, "My Parents Kept me from Children who were Rough." in James Reeves, ed., The Modern Poet's World. (London: Heinemann, 1957), p. 88.

Unit 3:

Teaching Points: Some Elements of Grammatical Structure in Literary Texts.

Suggested Texts:

a) Virginia Woolf: The Waves, an extract from the novel published in Modern Prose Style, ed. Bonamy Dobree (Oxford: 1934), pp.52-54.

b) T.S. Eliot: The Opening Section of Little Gidding, Lines 1-20, Published in The Practical Criticism of Poetry: A Textbook by C.B. Cox and A.E. Dyson (London: Arnold, 1965), pp. 156-157.

Unit 4:

Teaching Points: Some More Unconventional Structures in Poetic Texts.

Suggested Texts:

a) A.E. Housman, "Epitaph on an Army of Mercenaries," published in Understanding Poetry by Cleanth Brooks and Robert Penn Warren (New York: Holt, 3rd ed. 1965), p. 74.

Parallelism

b) T.S. Eliot, "The Love Song of J. Alfred Prufrock. Lines 87-110 in Understanding Poetry, p. 389.

c) W.B. Yeats, "The Scholars" in Poetry 1900-1965 edited by George MacBeth (London: Longmans, 1967), p. 9.

Couplings

d) Norman Cameron, "Steep, Stone Steps," in The Modern Poet's World ed. James Reeves (London: Heinemann,1957), p.12.

Arrest and Release

e) W.H. Auden, "Museé Des Beaux Arts," in Poetry 1900-1965, ed. G. MacBeth, p. 163.

Stage II

Unit 1:

Teaching Points: Lexical Choices at the Group Level: Collocation.

Suggested Texts:

a) Philip Larkin "Coming" from The Less Deceived.

b) Louis McNeice "Snow" Published in Modern Poetry: Studies in Practical Criticism by C.B. Cox and A.E. Dyson (London: Arnold, 1963), p. 85.

c) T.S. Eliot, "Mr. Appolinax" published in The Practice of Criticism by D.H. Rawlinson (Cambridge University Press, 1971), p. 195.

Unit 2:

Teaching Points: Grammatical Choices at the Clause Level.

Suggested Texts:

a) D.H. Lawrence: "We Need One Another," in Phoenix (1930).

Unit 3:

Teaching Points: Some More Grammatical Choices.

Suggested Texts:

a) Henry James, The Beast in the Jungle, published in The Pelican Book of English Prose: Vol. 2. from 1780 to the Present day, edited by Raymond Williams (London: 1969), pp. 363-368.

Stage III

Unit 1:

Teaching Points: Deviant Features in Linguistic Texts.

Suggested Texts:
a) E.E.Cummings, "Portrait," published in Understanding Poetry by Brooks and Warren, p. 185.
b) E.E.Cummings, "Pity this Busy Monster" in A Linguistic Guide to English Poetry by G.N. Leech (London: Longmans, 1969), p. 54.

Unit 2:

Teaching Points: Deviance of Literary Texts.

Suggested Texts:
a) Louis McNeice "A Prayer before Birth," in A Linguistic Guide to English Poetry, p. 203.
b) Wilfred Owen, "Strange Meeting," in Poetry 1900-1965 edited by George Macbeth, pp. 119-120.

Stage IV

Unit 1:

Teaching Points: Statistical Prominence and Foregrounded Linguistic Features.

Suggested Texts:
a) W.B. Yeats, "The Second Coming," in Poetry 1900-1965; p. 15.
b) Sylvia Plath, "Sculptor" in The Practical Criticism of Poetry by Cox and Dyson, pp. 167-168.

Unit 2:

Teaching Points: Marked and Unmarked Features.

Suggested Texts:
a) Ted Hughes, "Thrushes," in Exercises in Practical Criticism by J.O'Neill (Glasgow: Gibson, 1971), pp.52-53.
b) Thom Gunn, "Considering the Snail," in Modern Poetry: Studies in Practical Criticism (London: Arnold, 1963), p. 147.

Unit 3:

Teaching Points: Cohesion of Foregrounding.

Suggested Text: W.B. Yeats, "An Irish Airman Foresees his Death," in Poetry 1900-1965, p. 8.