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TEXT LINGUISTICS

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Учебное пособие посвящено рассмотрению основных проблем одного из актуальных направлений современного языкознания – лингвистики текста. В пособии обобщены и систематизированы знания по теории текста, её основным направлениям и понятиям, определены цели и задачи этой теоретической дисциплины. В пособии также учтены новые тенденции в развитии языкознания в русле антропоцентрической парадигмы. С этих позиций теория текста рассматривается в свете таких актуальных направлений как коммуникативная лингвистика, лингвопрагматика, когнитивная лингвистика, лингвокультурология.

Пособие предназначено для студентов магистратуры филологических факультетов, а также может представлять интерес для аспирантов и преподавателей английского языка.

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PREFACE

The manual “Text Linguistics” is intended for students of Master’s and Post-graduate courses, teachers specializing in English at universities, pedagogical institutes and institutes of foreign languages.

The book consists of 10 chapters which contain a discussion of some fundamental problems of text linguistics:

- the main notions and trends of text linguistics, its history, evolution, different approaches and views (ch. 2)
- the problems of text typology, text-types and criteria of their differentiation (ch. 1 -2);
- the notion of text categories, their distinctive features taxonomy and hierarchy;
- communicative, pragmatic, cognitive and linguoculturological aspects of the text (ch. 6, 7, 8, 9);
- methods of analysis (ch. 10)

Special attention is attached to a fictional text and its categories. It is accounted for by the fact that a work of fiction is of particular interest for the students of philology inasmuch as it provides a good material for creative thinking. The book differs from the previous works in text linguistics in the treatment of some problems in the light of new trends in linguistics. The work is based on the results of recent researches in cognitive linguistics and linguoculturology, and that will provide up-to-date and scholarly treatments of many topics relevant to text linguistics.

Chapter 10 introduces the student to the modern methods of analysis which might be of use in text linguistics. Each chapter ends with sets of questions and tasks which will enable the student to test his knowledge. Besides, there is an extended list of literature relevant to the subject in question.

Appended to the book is a glossary containing the description of some notions and terms in a compact and comprehensible manner, and a reader containing English articles in text linguistics, pragmatics, cognitive linguistics by modern scholars.

In conclusion, I should like to thank my reviewers Prof. A.A. Abduazizov and Prof. M.I. Rasulova for valuable suggestions.

The author

CHAPTER I. TEXT LINGUISTICS AS A SCIENTIFIC DISCIPLINE

1.1. TEXT LINGUISTICS – HISTORY, EVOLUTION AND APPROACHES

Text linguistics is an independent branch of linguistics which studies text and its structure, the principles of text formation and perception, methods of text analysis, etc. The ideas of this science are traced back to the fundamental works by famous Russian and foreign linguists – A.A. Potebnya, Z.V. Scherba, V.V. Vinogradov, M.M. Bakhtin, R. Jakobson, Z. Harris. As a separate branch Text Linguistics came into existence in 60-70th, and it is connected with the researches of such well-known scholars as G.V. Kolshanskiy, I.R. Galperin, Z.Y. Turaeva and O.I. Moskalskaya.

The first work to mark the beginning of text linguistics was Harris's "Discourse Analysis" written in 1952. The ideas expressed in this work remain significant for the present day linguistics, and the statement by Harris that "language is presented not in the form of separate words or sentences but in the form of a text" has become the main conception of text linguistics.

During many decades of text linguistics development there appeared a great many works (monographs, dissertations, articles) devoted to various aspects of this science. Being unable to embrace all of them we shall briefly dwell on the works which seem to be most significant.

The well-known linguist, T. van Dijk made a valuable contribution to text linguistics. He states that text theory is an interdisciplinary science, which integrates separate independent scientific trends such as linguistics, history, theology, jurisprudence and others. The object of all these sciences is text which is studied from different angles and with different aims. In text linguistics T. van Dijk differentiates three aspects: syntax, semantics and pragmatics. T. van Dijk was the first to introduce the notion of semantic macrostructure, characterizing the semantic content of the text, its global integrity. Further on the Amsterdam scholar uses the term "discourse", and studies its pragmatic

and cognitive aspects. He argues that text can be understood only within the framework of a certain situation, and introduces the notion of “situational models”, which is considered a basis of cognitive discourse processing. Much attention is directed to discourse analysis, knowledge structures, the ways of their presentation in the text and conceptual organization (van Dijk, 1989).

Another work which left noticeable traces in text linguistics is the monograph by I.R. Galperin “Текст как объект лингвистического исследования” (1981). The book covers a wide range of questions such as the definition of text, text categories, text units, text parameters, etc. The author states that the notion of text being very complicated and multifold should be analysed from different angles including static and dynamic aspects, paradigmatic and syntagmatic axes, language and speech levels, semantic and structural planes of the text. According to I.R. Galperin grammatical methods of analysis can be applied to the text. As is known, grammar tends to trace certain regularities out of multiple, and seemingly chaotic language usage. Similarly, any text despite its unique and individual character is subordinated to some rules, principles, models and regularities. For this reason so much attention is attached to text categories constituting the essence of any text. I.R. Galperin considers a great number of text categories such as informativity, segmentation, cohesion, continuum, prospection, and retrospection, modality, integration and completeness. Each category has been subjected to a scrupulous analysis providing a sufficient grounding for convincing conclusions.

A distinctive feature of Galperin’s conception lies in the argument that the notion of text is confined only to the written variety. Text is opposed to the oral speech inasmuch as the latter is spontaneous, inconsistent and unorganized. With regard to text, there are quite opposite features: it is not spontaneous, it is consistent and well-organized. This viewpoint has got both supporters and opponents. For example, Z.Y. Turaeva adheres to Galperin’s conception stressing the fact that text is multi-dimensional and reversible, whereas the oral speech is linear and irreversible. However, G.V. Kolshanskiy strongly objects to this

opinion. He argues that text can be presented both in the written and oral forms, the latter, being primary, possesses all text characteristics.

Z.Y. Turaeva in her textbook “Лингвистика текста” (1986) is concerned with a number of issues peculiar to a literary text. She explores the structure of literary texts differentiating its models: deep and superficial, vertical and horizontal. Much attention is paid to text categories, particularly to those that remain uncultivated, for example, the category of space and time. One major advantage of this book is that it has formulated the tasks of text linguistics:

- to study text as a system of a high rank, characterized by cohesion and integrity;
- to build up text typology according to the communicative and linguistic characteristics;
- to explore text units constituting text;
- to examine text categories, their distinctive features, taxonomy and hierarchy;
- to analyze the peculiarities of language units functioning within the framework of the text;
- to specify interphrase links and relations, viz. structural, semantic and other means of cohesion between text components.

O.I. Moskalskaya’s text-book “Грамматика текста” (1981) focuses on the grammatical aspects of the text, its composition, sentence arrangement, modality, text forming functions and others. Theoretically important here is an attempt to combine grammatical notions with the basic notions of text theory, such as the notion of “text”, its semantic, communicative and structural integrity. Many grammatical categories – segmentation, tense, modality, definiteness/ indefiniteness, etc. have been presented and analysed in a new light as text categories. In the domain of syntax a new problem of text architectonics has been elucidated. Along with the problem of the semantic analysis of a sentence a more complicated problem of text semantics has been discussed.

Of great interest is the conception of text linguistics by T.M. Nickolaeva, who distinguishes two trends: general theory dealing with the major universal principles of text construction and a more specific

theory of a concrete text, the latter is close to text interpretation. General text theory is concentrated on text pragmatics, i.e. appropriateness, effectiveness of communication, and the use of language means ensuring them. The specific theory of text linguistics is oriented to the analysis of a concrete text of a concrete language. It should be stressed that general theoretical assumptions can be figured out only on the basis of a sufficient amount of linguistic data and facts provided by concrete text analyses.

The next book worthy of consideration is “Семантика текста и ее формализация” by A. I. Novikov (1983). The author develops semantic theory of text, treating a number of problems that have traditionally been recognized as very problematic areas: the semantic content of the text, its semantic structure and main semantic units, the correlations between text units and language units on the one hand, and the whole text structure – on the other. In A. I. Novikov’s conception text is viewed as a means of not only interpersonal communication, but also as an important component of man-machine communication. Therefore, according to A. I. Novikov, formal methods of analysis to disclose text semantics are required.

One of the latest textbooks devoted to the problems of text linguistics is “Лингвистика текста” by K.A. Philipov. It formulates the essential theoretical assumptions of text linguistics and its main trends, discusses different approaches and views. The author provides a large body of information on the history, evolution and main stages of text linguistics from the antique times up till now. The value of this work lies in the fact that it also reflects the current knowledge in text linguistics and elucidates new approaches to text with respect to the latest achievements of linguistic theory. The author notes that there are many terms used to designate this area of investigation: text grammar, text theory, discourse analysis, linguistic text analysis, and text linguistics. Out of all these terms the latter seems to be most general and appropriate.

Another book worth mentioning is “Introduction to Text Linguistics” by R.A. de Beaugrande and W. Dressler. It brings up the problem of textuality which meets seven standards: cohesion, coherence, in-

tentionality, acceptability, informativity, situationality, intertextuality. Besides the authors devote some space to comparing the “paradigm” of text linguistics with other linguistic paradigms, viz., cognitive linguistics.

The problems of text linguistics are still in the focus of attention. A great deal of research has been done in this field, and yet there are still significant gaps in the knowledge both in text theory and text analysis. Besides, at the present stage of development text linguistics undergoes some changes under the influence of new anthropocentric trends in linguistics, and the tendency to study “human factor” in language. The most important publications of recent years deal with the problems of a) text and discourse (Карасик, 2004); b) the cognitive paradigm of the text (Кубрякова, 2001); c) text and culture (Вежбицкая, 1996; Молчанова, 2007); d) text and intertextuality (Чернявская, 2008).

One of the main features of text linguistics is its interdisciplinary character. Text is a meeting-ground of all aspects of language theory: semantics, grammar, syntax, stylistics, etc. Consequently, each of these aspects can be subjected to investigation in text linguistics. For example, there are close links between text linguistics and stylistics. Moreover, many problems under discussion in text linguistics had long been put forward in stylistics. Thus, the problems of text typology closely correlate with the theory of functional styles, because every text is built according to stylistic norms of a definite functional style. Literary texts (fiction), for example, are faced with all the properties of the belles-letters style such as emotiveness, expressiveness, imagery. In passing, it should be noted that stylistic problems of the text are of such importance that there appeared an independent trend – text stylistics.

Text as a complex unit is studied not only by text linguistics, but also linguopragmatics, cognitive linguistics, sociolinguistics, theory of literature and so on. There are also definite links between text linguistics and psycholinguistics because the problems of impact and perception claim attention of the both sciences.

So, a brief survey of the linguistic literature has shown a great variety of views, attitudes and opinions, concerning the notions of text and text linguistics. This is evidenced by the fact that there are many

definitions of text linguistics, each of them laying emphasis on different aspects of this science. For example, Т.М. Nickolaeva focuses her attention on the rules and regularities of text construction and its cohesion (Лингвистический энциклопедический словарь 1990:267). I.R. Galperin concentrates on text categories (1981). G.V. Kolshanskiy draws attention to the communicative aspect of this discipline, O.I. Moskalskaya deals with the grammatical aspects. Summing up all the definitions, we can point out the main characteristics peculiar to text linguistics and acknowledged by many scholars:

- text linguistics is an independent scientific branch of linguistics;
- text linguistics studies “language in action”;
- the object of text linguistics is text or textual phenomena (parts, fragments, units, exceeding the limits of a sentence);
- text linguistics studies constituent categories of the text;
- text linguistics is an interdisciplinary science related to other aspects of language theory (semantics, grammar, stylistics, phonetics, etc) on the one hand and other branches of linguistics (communicative linguistics, cognitive linguistics, linguoculturology) – on the other.

1.2. THE NOTION OF TEXT, ITS MAIN CHARACTERISTICS

The notion of “text” refers to one of the most complicated, ambiguous and polysemantic notions, and it is the object of study not only in text linguistics, but also in many other humanitarian sciences – theory of literature, textology, history, hermeneutics, aesthetics, culturology and others. As М.М. Bakhtin stated, text is an initial point of any humanitarian science (Бахтин, 1986:474). So, the definition of text seems to be a very difficult problem because it depends on the area of investigation, the chosen approach and aims. Different approaches to text can be evidenced by various definitions in the lexicographical sources:

- any written material (CCELD)
- a book or other piece of writing (COD)
- a written or spoken passage (CCELD)
- original words of an author or orator (OSDCE)

- written or printed words forming a literary work (PED)
- quotation, proverb, saying (PED)
- passage of Scripture, subject of sermon (COD)
- theme, topic (WNDS)
- the words to a musical composition (CERD)
- an utterance or article given in the written or printed form (LDCE)

As is seen from these definitions, there is a difference of opinions concerning the length of the text (words, utterance, passage, quotation, proverb, saying, article, book) and its form (written or oral). In the linguistic literature there are also quite different definitions of text. It will suffice to bring out some of them given in the most known researches:

- text is a sequence of verbal signs, its main characteristics are cohesion and coherence (Кубрякова, 2001);
- text is an organized multitude of sentences united by different types of lexical, logical and grammatical links, a complex structural and semantic unit conveying certain information (Тураева, 1986);
- text is an utterance both in written or oral form, characterized by semantic-structural completeness, the author's modality, a certain communicative aim and pragmatic intentions (Шевченко, 2003);
- text in its narrow sense (microtext) is a complex syntactical whole, in its wide sense it is a literary work (novel, story, essay, etc) (Москальская, 1981);
- text is a linear sequence of verbal signs, semantically and intentionally completed, a compositional unit expressed by either graphical (written) or oral means (Чернявская, 2009).

So, different scholars concentrate their attention on different sides and aspects of the text. According to some linguistic data there are more than 300 definitions of text (Белянин, 1999). It should be admitted that it is impossible to give a universal and generally accepted definition of text because of its complicated and multifold character. Though the notion of text in its practical sense, for instance, text as a story, article or advertisement is easily understood, from the scientific point of view it is difficult, if possible at all, to achieve the unanimity of opinions. It would

be reasonable to assume that each scientific trend presents the notion of “text” in its own way proceeding from the aims of investigation.

The most acknowledged definition is that given by I.R. Galperin: «Текст – это произведение речетворческого процесса, обладающего завершенностью, объективированное в виде письменного документа, произведение, состоящее из названия (заголовка) и ряда особых единиц (сверхфразовых единств), объединенных разными типами лексической, грамматической, логической, стилистической связи, имеющее определенную целенаправленность и прагматическую установку» (Гальперин, 1981:18). This definition has been accepted by many linguists because it embraces the most significant features of the text. Yet, some assumptions of this definition concerning the title of the text and its written presentation are arguable. E.M. Kubryakova, for example, asserts that the presence of a title is not a decisive criterion due to the fact that there are a lot of untitled texts. Besides, the written form is not the only way of presenting a text. It exists along with the oral type of the text (Кубрякова, 2001:72). G.V. Kolshanskiy also claims that both the written and oral varieties of the text are equally acknowledged (1984).

Another problem that causes confusion is text delimitation. It raises some questions: what are the boundaries of the text? – a sentence? a complex syntactical unit? a passage or a book? As many scholars claim there are two approaches to this problem: wide and narrow. O. I. Moskalskaya, for example, distinguishes macrotext (a literary work) and microtext (a complex syntactical whole). But she regards these text types as quite different units, one (microtext) is a syntactical phenomenon, the other – a product of speech activity and social communication. So, different criteria of text definitions presuppose different approaches to text analysis. When analyzing a microtext the focus is brought into its syntactical and compositional structure, whereas a macrotext entails the problems of communicative, cognitive and socio-cultural character.

In text definitions disagreement also arises as to whether text is a unit of speech or language. It is acknowledged that text is a main unit of communication. The communicative nature of the text, its func-

tional orientation and processual character make it possible to regard text as a speech unit. Indeed, text is imbued with such speech characteristics as: active and dynamic character, individual, concrete and unique content, linear sequence of sentences and intentional tendency. At the same time according to the conception of such scholars as I.R. Galperin and G.V. Kolshanskiy text should be regarded as a language unit as well. This view is grounded by the fact that text is characterized by the properties ascribed to language units. First of all text is considered to be a verbal sign, a bilateral unit, consisting of the plane of expression and that of content. In other words it is a unity of the two levels: the content level reflecting a “piece of reality” and the textual verbal level. From this position text can be presented as a model, and an abstract scheme, characterized by certain categorical properties, which constitute the notion of text.

So, one of the major tasks of text linguistics is to define a set of distinctive features that specify the notion of text as such. A survey of the linguistic literature has shown that there is a certain variability in taxonomy of distinctive features inherent in the text and presented as distinctive text properties. Summing up the results of many researches, we can figure out the main features of the text, which appeared to be supported by almost all the linguists. So, the main features of the text as a speech product are as follows:

- cohesion, i.e. different types of formal connections (lexical, grammatical, syntactical, stylistic, etc.) between the components of the text at its surface level;
- coherence, i.e. different types of semantic integrity (thematic, temporal, referential, compositional, etc);
- informativity, i.e. the ability to generate, store and convey different types of information;
- communicative aim and pragmatic intentions;
- text modality, i.e. the author’s evaluative attitude to the events described.

Certainly, there are many other very important text qualities, characteristics, categories which will be discussed further (3.1). But those

mentioned above are of the most general character pertained to any text type.

It should be once more stressed that the definition of text depends on the aims of text analysis, the chosen approach and text type. Different definitions focus on different sides of the text – semantic, grammatical, stylistic, cognitive, communicative, etc. In this respect any definition can be considered true if it serves the relevant target. In our further research we shall be guided by the definitions which are more appropriate for the accepted goal. Thus, from the point of view of text grammar the first and foremost role is assigned to cohesion and its various types (lexical, syntactical, morphological, etc). Cohesion is an inherent feature which constitutes text as a single whole.

We shall discuss the problems of informativity, communicative and pragmatic aspects of the text in other sections (see 4.3.; 6.1.; 7.1.). Here it is worth saying a few words about textual modality as one of the inherent properties of the text. Textual modality can be defined as the attitude of the speaker or writer to the information conveyed by a text (Якубов, 2006).

The category of modality is presented in two forms: objective modal meaning and subjective modal meaning, the latter embraces the whole range of evaluations, attitudes, opinions and emotions. The both types of modality in different proportions can be observed in the text. However, it is the type of the text that determines the prevalence of either objective, or subjective modality. Fictional texts, for example, aimed to express the author's evaluation and comprehension of reality, are characterized by subjective modality. Subjective modality reveals the author's personality, his outlook and artistic credo. This type of modality is especially conspicuous in the belles-letters texts. As for scientific texts and official documents characterized by objectivity, logic and argumentation, they are usually devoid of subjective modality.

The other types of texts: newspaper articles, essays, sketches, combine objective modality with some elements of subjective-evaluative modality. Modality, both objective and subjective, can be realized by

various language means – grammatical, lexical, phraseological, stylistic, etc. Besides, as I. R. Galperin claims, textual subjective modality is realized in personages' characters, in a peculiar distribution of predicative and relative spans of the text, in epigrammatic statements, in foregrounding parts of the text, etc (1981).

One of the means to express subjective modality is a descriptive context. For instance, portrait descriptions are often charged with modal meanings:

Mrs. Knatchbole was ugly, she had a goitred neck and a sharp nose with an orb shining at its end, constant as grief (A. Coppard, *The Cherry Tree*).

The story, the utterance is extracted from, tells us of an eight year old boy from a poor family who constantly annoyed his neighbor Mrs. Knathchbole by making mischief, dog hunting and killing rats. Therefore Mrs. Knathchbole used to complain to the boy's mother. A detailed description of an angry woman with “*a goitred neck*”, “*a sharp nose*”, “*a shining nose*” creates an unfavourable image of an ugly woman. This insignificant at first sight descriptive detail assumes a very important function: to express subjective-evaluative modality, the author's antipathy to this personage, his aversion for her words and actions, and at the same time his kind feelings for a naughty boy.

So, modality proves to be one of the most essential characteristics of the text, its inherent category. It should be noted that the most complete theoretical account of this category is found in many researches (Гальперин, 1981; Якубов, 2006). In our further practical analysis of the language material much attention will be attached to the role of this category in text interpretation.

QUESTIONS AND TASKS FOR DISCUSSION:

1. What are the major researches in text linguistics?
2. Speak on the conception of text linguistics formulated by T. van Dijk.

3. What ideas of text linguistics are contained in I.R.Galperin's monograph?
4. What recent publications in text linguistics do you know? What problems are being discussed now?
5. Point out the main characteristics of text linguistics as a scientific discipline.
6. How is the notion of text presented in the linguistic literature and lexicographical sources?
7. Comment on the text definition given by I.R. Galperin. What are the arguable points of this definition?
8. Discuss the wide and narrow approaches to the notion of text. What is the difference between them?
9. Characterize text as a unit of speech and language.
10. Why is it impossible to give an exhaustive, universal definition of text? What does the definition of text depend on?
11. What are the main properties of text?
12. What can you say about the notions of cohesion and coherence?
13. What is textual modality? Comment on its role in text interpretation.

RECOMMENDED LITERATURE

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CHAPTER II. THE MAIN TRENDS OF TEXT LINGUISTICS

2.1. TEXT GENERAL THEORY

Within the framework of text linguistics there distinguished different trends and aspects. But the linguists differently treat this issue. P. Hartman outlines two directions: general theory and concrete text analysis. According to I.R. Galperin there is general theory and text grammar. O.I. Moskalskaya differentiates text semantics and text grammar. Z.Y. Turaeva suggests six directions: 1) general theory; 2) text typology; 3) text units and their functions; 4) text categories; 5) text integrity; 6) cohesion of the text.

The survey of the linguistic literature and our own observations enable us to outline the following main directions:

- general text theory;
- text grammar;
- text semantics;
- text stylistics and interpretation;
- text typology.

General theory of the text covers a wide range of theoretical questions including:

- outline of text linguistics as a branch of general linguistics, its history, evolution, approaches, directions, its object and subject, the main tasks;
- definition of text, its main features, categories and boundaries, principles of text construction and text perception;
- links between text linguistics and other sciences.

Before turning to these problems it will be expedient to specify the object and the subject of text linguistics. The object of text linguistics is a text as a complex communicative unit, as a sequence of verbal signs, as “language-in- action”. The subject of text linguistics depends on the aim of investigation. It might be the semantic, structural, grammatical, stylistic, communicative, pragmatic, cognitive and other aspects of the text.

Previously we have discussed some tasks of text linguistics, its historical background, views of the scholars who contributed to the development of this science. Much attention has been paid to the problem of text definition and the main text characteristics. In this connection there arises another crucial problem – the problem of text delimitation. What is text delimitation? It means establishing the borderlines of the text, its length. Needless to say that it is impossible to study a text if we don't know its boundaries. It should be noted that in a practical sense text boundaries are easy to establish by a visual observation of the material segmentation in the written form of the text (syntactical unit, paragraph, chapter) or an auditory observation (time, interval, pause) in the oral variety of the text (Колшанский, 1984).

From the theoretical viewpoint, however, the problems of text delimitation are rather debatable for the reason that not all the parameters for setting the boundaries of the text have been revealed. Many scholars maintain the idea that text delimitation is based on the thematic principle according to which micro - and macrottexts as monothematic and multithematic units are distinguished (Гальперин, 1981; Колшанский, 1984; Москальская, 1981). Thus, Moskalskaya considers that micro-text is presented by a complex syntactical unit, and macrottext – by a work of literature. Complex syntactical units or supra-phrasal units are defined as a sequence of two or more sentences presenting a structural and semantic unity backed up by a rhythmic and melodic unity. In other words, it is a span of the text in which coherence, interdependence of the elements, and one definite idea are observed (Galperin, 1977:196). In some cases complex syntactical units can coincide with the whole text if the latter is of a small format (certificate, advertisement, cable). It is interesting to note that a complex syntactical unit can be embodied in a sentence due to its semantic extension and integrity. Most proverbs, sayings, epigrams, expressed by a sentence are regarded as complex syntactical units or texts of a small format:

*The proof of the pudding is in the eating.
It's no use crying over spilt milk.
...In the days of old men made manners;*

Manners now make men (Byron).

Failure is the foundation of success and success is the lurking place of failure (S.Maugham).

These statements are expressed by one sentence. Nevertheless we consider them to be micro-texts due to their semantic properties. First, though they are brief, they suggest extended meanings accumulating life experience. Second, they can be regarded as patterns of thought offering a wide range of possible applications. Third, they possess a great degree of independence, and therefore, if taken out of the context will retain the wholeness of the idea they express (Galperin, 1977:184).

We have considered examples when a complex syntactical unit is presented as a micro-text. However, in most cases a complex syntactical unit stands out as a constituent part of the text, its minimal unit. It designates the lower borderline of the text. As for the upper one it remains to some extent obscure because a macro-text can be presented by a story, a verse, an instruction or a novel consisting of several volumes.

Text, as has been stated, can be studied from different angles. At present the communicative-pragmatic and communicative-cognitive approaches are gaining ground. This is not accidental. It has been long acknowledged that text is the main communicative unit. The definition of the text in this line stresses the idea of its intentionality, the role of an addresser and addressee and sociocultural context. It is claimed that text embraces both language and non-language parameters, linguistic and extra-linguistic factors, and it should be examined in a complex system of relations: reality – text – addresser – addressee. The true nature of the text can be revealed only if the correlations of linguistic and extralinguistic factors of sociocultural, psychological, historical character are taken into consideration (Чернявская, 2009).

In the cognition oriented paradigm text analysis is aimed at studying and processing knowledge structures and world information. According to G.V. Kolshanskiy “text is a structurally organized unit assuming cognitive, informative, psychological and social functions of communication” (1984:89). The cognitive approach is based on

the assumption that human knowledge is mainly presented by textual forms, it is stored by texts and generated by texts. In this respect text is acknowledged as language materialization of mental structures, processes, concepts.

One of the main features of text linguistics as has already been mentioned is its interdisciplinary character, which is accounted for by a complex, multifold nature of texts. Text as a complex unit is studied not only by text linguistics, but also by other sciences: communicative linguistics, linguopragmatics, cognitive linguistics, sociolinguistics, theory of literature and so on. However, it should be kept in mind that all the above-mentioned disciplines, being closely connected with text linguistics, study text from different angles according to their own aims, tendencies, approaches. At the same time under the influence of adjacent sciences the domain of text linguistics, enriched by new ideas, assumptions and approaches, has considerably expanded.

2.2. TEXT GRAMMAR

Text grammar presupposes the study of models and rules of text production. The accent is made on text as an aggregate of sentences united to form complex syntactical units. Text grammar covers a wide range of questions: structural and semantic integrity of the text, its segmentation, lexical and grammatical cohesion, thematic and rhematic aspects of the text, compositional structure, sentence arrangement in the text, text forming functions of language units, text delimitation and others. All these problems have been sufficiently discussed in the text book by O. I. Moskalskaya (1981).

Here we shall dwell on those which seem most pivotal. It should be stressed that many grammatical notions such as predication, modality, actualization, local and temporal reference in the light of text theory have acquired a new meaning. For example, the notion of reference. Applied to a sentence, it has only a potential character, and it can be actualized only within a text. Therefore reference to reality is an indispensable property of any text. Only in the text do sentences,

complementing one another, form an utterance related to real facts and events (Москальская, 1981).

Differently is treated the category of modality viewed from the position of the whole text. Some linguists distinguish phrase (sentence) and textual modality (Гальперин, 1981). At the level of a sentence modality is usually realized with the help of lexical and grammatical means, whereas textual modality, besides these means, is realized, as it has already been mentioned, in a peculiar distribution of predicative and relative spans of the text, in personages' characters, in foregrounding some parts of the text, etc.

One of the major problems of Text Grammar is structural and semantic integrity of the text, therefore so much attention is attached to the notions of cohesion and coherence. It is acknowledged that cohesion, regarded as various (syntactical, lexical, stylistic, grammatical, etc) types of correlation between text components, is a basic category constituting text as such. However, there are several directions in the study of text cohesion. G.V. Kolshanskiy distinguishes syntactical, semantic and communicative cohesion (1984). T. van Dijk differentiates micro- and macro-cohesion. Micro-cohesion is a surface correlation between the sentences of the text; macro-cohesion is related to a deep text structure (1972). A.I. Novikov differs internal and external means of cohesion. Internal cohesion is based on the thematic unity of a text, external – deals with grammatical and lexical means (Новиков, 1983:26-27). O.I. Moskalskaya describes semantic, communicative and structural means of cohesion (Москальская, 1984:17). From all this it follows that cohesion is understood in two senses: as a surface cohesion confined to formal structural means explicated at the verbal layer of the text, and a deep semantic cohesion dealing with the semantic integrity of the text. In order to differentiate these two types some linguists introduce two different terms: “cohesion” pertaining to a formal verbal level, and “coherence” related to a semantic integrity of the text. The correlation of “cohesion – coherence” implies the opposition of the surface and deep structures of the text. It should be noted that text grammar focuses mainly on the formal connections of the sentences within the framework of the text. In other words it deals with

text cohesion. Cohesion is manifested at different levels of the text: words, sentences, fragments. Hence, there are various types of cohesion: lexical, morphological, syntactical, stylistic, compositional, etc. According to the character of sentence connections and intervals between them there distinguished contact and distant types of cohesion. Besides, there are anaphoric and cataphoric types of cohesion defined in accordance with a forward or backward direction of connections.

I.R. Galperin singles out four types of grammatical cohesion: chain, parallel, radial and attached. The following examples can illustrate these types:

A smile would come into Mr. Pickwick's face: the smile extended into a laugh: the laugh into a roar, and the roar became general (Dickens).

The coach was waiting, the horses were fresh, the roads were good and driver was willing... (Dickens).

Those three words (Dombey and Son) conveyed the one idea of Mr. Dombey's life. The earth was made for Dombey and Son to trade in, and the sun and moon to give them light. Rivers and seas were formed to float their ships, rainbows gave them promise of fair weather, winds blew for or against their enterprises; stars and planets circled in their orbits to preserve inviolate a system of which they were the centre (Dickens).

The isolation he keeps me in. No newspaper. No radio. No TV (Fowles).

It is necessary to stress that various means of cohesion usually function in different combinations with each other. In the above examples we observe the use of syntactical, lexical, stylistic and graphic means of cohesion.

The most complete account of the problem of text cohesion is found in the text- book by O.I. Moskalskaya "Грамматика текста" (1984). The author tries to apply grammatical notions and methods to text theory, at the same time pointing out that these notions should be reconsidered in a new light, from the position of text linguistics. As many

scholars state, there is a great many means of cohesion referring to all the language levels. The study of the linguistic literature and our own observations make it possible to list the following means of cohesion:

- all types of conjunctions (therefore, however, that's why, because, on the ground that);
- participial constructions;
- the choice of articles;
- the use of tenses;
- forms of enumeration (firstly, secondly, on the one hand... on the other hand);
- deixis (pronouns, adverbs of time and place: soon, tomorrow, here, there, etc);
- parallel constructions;
- graphic means: a); b); c); 1); 2); 3);
- recurrence, i.e. repetition of words, word combinations, phrases, etc.

It should be noted that means of cohesion in the text assume not only grammatical functions, but also those of text formation. In other words, grammatical means of cohesion functioning within the text are transformed into textual means. It is worth mentioning here that text cohesion is not limited to grammatical means. As mentioned above, along with grammatical there are semantic, stylistic, communicative, compositional means of cohesion, which will be discussed in the subsequent sections of the manual. Here it is necessary to stress that text cohesion is achieved by a multitude of language means which, being mutually complementary, provide a real text integrity.

2.3. TEXT SEMANTICS

Text semantics covers a wide range of problems:

- the notion of semantic integrity;
- the semantic structure of the text;
- the main units of the semantic structure of the text;
- the correlation of the surface layer of the text and its content, interaction of "surface" and "deep" structures;

- the correlation of the linguistic and extralinguistic factors of the text;

- content analysis of the text.

Before we proceed any further, it is necessary to clarify the notion of “text semantics” and that of language units. The latter is the meaning embodied in the material form of a verbal sign. Lexical meaning, for instance, is inherent in the word and it is fixed in the dictionary. Text semantics is a mental formation intrinsic to the text as a whole. Text semantics studies the inner content structure of the text which, being a genuine speech production, does not belong to the language system. It comes into existence only in the process of text production and text perception. It should be emphasized that the content of the text though based on the meanings of the language units, nevertheless, is not just a sum of these meanings. It assumes qualitative changes and transformations generated by interaction of numerous linguistic and extralinguistic factors. So, the linguistic mechanisms of text semantics and those of language units are quite different.

According to the definition given by A. I. Novikov, the inner text content is a mental formation produced by human intellect, and has no element-wise correlation with its formal structure, but corresponds to it as a whole (1983:5). Text integrity is certainly based on cohesion and arises from it. The cohesion leading to integrity is defined by I.R. Galperin as a process of integration. Integration is the unification of all the parts of the text into one integral unit. Integration can be achieved by means of cohesion, and also by associative and presuppositional relations (1981:512). This definition indicates the difference between the terms: cohesion, integration and integrity. Cohesion is a means of connections (grammatical, semantic, lexical, etc). Integration is a process of combining all parts of the text, its “deep structure” which transforms the combination of sentences into a single whole.

Text integrity, as many scholars state, is achieved by the thematic unity of the text: it is regarded as a condensed and generalized content of the text, its semantic kernel. According to G.V. Kolshanskiy, integrity of the text is formed first of all by its denotative kernel and

thematic structure (1984:100). The thematic unity is ensured by the referential identity of the language units functioning in the text. It means that any text belongs to a definite denotational sphere, that provides basis for the semantic integrity and completeness of the text.

The semantic structure of the text is presented by a chain of complexly interwoven and mutually complementary themes subdivided into subthemes and microthemes reflecting events, actions, facts of reality. According to A.I. Novikov, text content is a dynamic model of some fragments of reality (1983:73). Consequently, the main task of text semantics is to reveal correlations between verbal signs and mental content, between the verbal layer of the text and its mental representation. In this respect content analysis should include: searching for the “key” elements of the text, defining subthemes and microthemes and their hierarchical interrelations. A detailed analysis of the thematic chains in different functional styles is given by T. V. Matveeva who singles out primary and secondary thematic chains. The primary chains are those which directly name the subject of speech. The secondary chains, also called additional, are presented by substitutes, transforms, synonyms, pronouns, deixis, etc (1990).

The semantic integrity sustained by its thematic unity is the main property of the text, its compulsory, inherent category without which text doesn't exist as such. According to Turaeva Z.Y. text integrity is achieved a) by hierarchy of relationships of all language units (phonetic, morphological, syntactical, lexical); b) by interaction of surface and deep layers of the text; c) by additional senses, which language units acquire in the text. Let's analyse some examples which illustrate various ways to achieve text integrity. It is acknowledged that many phonetic means can be used in the text as a means of cohesion, thus ensuring text integrity. Particularly significant is the role of phonetic means in the oral text. Here all prosodic elements such as intonation, pitch, tempo, timbre, pause, melody serve to achieve semantic integration, and combine separate parts into a single unit. In the written type of the text phonetic means also fulfill the text forming functions, and at the same time secure the semantic integrity of the text. The role of phonetic means is most conspicuous in poetry. In this respect it will

suffice to mention the phenomenon of sound symbolism. As is known, sound symbolism is based on the assumption that some sounds due to their acoustic properties make awake certain ideas, perceptions, images, feelings. It follows then that a particular phonetic arrangement of the text can lead to the semantic integration of its parts.

Thus in E.Poe poem “The raven” sounds are arranged in such a way that they along with lexical means convey the emotional atmosphere of sorrow, mysticism, gloom and distress. It is not by chance that such sounds as [d] correlating with the initial [d] in the word “death” and back vowels [o:] [a:] prevail here

.....- here I opened wide
the door: -

Darkness there and nothing more.

Deep into that darkness peering, long I stood dthere wondering.

Doubting, dreaming dreams no mortal ever dared to dream before
(E.Poe)

Semantic integrity can also be achieved by word-building means. Here is an example:

Of the various kinds of anti-word, such as antibiotic, antinovel, antimatter and so on, the kind that is to be understood here that represented by antisociety. An antisociety is a society that is set up within another society as a conscious alternative to it. It is a mode of resistance, resistance which may take the form either of passive symbiosis or of active hostility and even destruction.

An antilanguage is not only parallel to an antisociety, it is in fact generated by it ... an antilanguage stands to antisociety in which the same relations as does a language to a society (M.A.K. Halliday. Language and social Semiotic. L., 1978. p.164)

The integrity of this text is sustained by means of derivation used in the chain of words united by the prefix “**anti -**”: *anti-word, antibiotic, antinovel, antimatter, antisociety, antiknowledge*. In the process of analogical word-formation here all the parts of the text enter into

close interaction and interdependence. The meaning of the occasional word “*antilanguage*”, which is a key word here, becomes clear only in this context.

So, the semantic integrity and thematic unity of the text are obtained by various means of cohesion. A special emphasis is laid on the language units recurrence, including repetition of sounds, morphemes, words, word combinations, synonymous repetition, periphrasis, the words correlated by hypo-hyponymic relations and so on. The following example can serve as an illustration:

Is there a college in the whole country where there is a chair of good citizenship? There is a kind of bad citizenship which is taught in the schools, but no real good citizenship taught (M. Twain “Education and Citizenship”).

Here many types of cohesion are used: word repetition, parallel structures, synonyms (college - school), antonyms (good - bad).

In conclusion it should be stressed that text is a unity of form and content, external and internal factors, surface and deep structures. However, the internal form of the text, i.e. its content structure assumes a dominant role since the choice of words, sentence structures and their arrangement, segmentation and wholeness of the text are predetermined by its semantics, which in its turn depends on the author’s communicative aim.

2.4. TEXT STYLISTICS

There are close links observed between text linguistics and stylistics. Many notions of text linguistics, be it repeated, had long been discussed in stylistics, and it is quite valid since stylistics is based on the study of texts, mainly literary texts. Therefore it is expedient to single out a stylistic trend in text linguistics, which embraces a great variety of problems:

- text types related to the problem of functional styles;
- compositional structure of the text;
- stylistic text categories;

- stylistic means of cohesion and coherence;
- stylistic peculiarities of an individual style;
- the role of language units in transmitting conceptual information and representation of the conceptual world picture

Let us briefly elucidate some of the problems. Functional stylistics as is well-known, is concerned with the description of various types of texts. In text linguistics the problem of text types is also in the focus of interest, and it is studied in text typology and text stylistics. One of the main tasks of text stylistics is to study language means functioning in typified standard situations. Therefore much attention is attached to the text types characterized by definite stylistic functions and traits. Besides, the stylistic theory of text linguistics is faced with the problem of compositional speech forms, to wit: narration, description, reasoning, dialogue (monologue, polylogue). All these forms will be extensively discussed further. Here it is worth mentioning that according to a text type either this or that compositional form prevails. Thus the dramatic text is presented in the form of a dialogue. The scientific text is based on reasoning. As for the publicistic text, it is mainly narration. A peculiar feature of the fictional text is the combination of all the above mentioned forms, each fulfilling its own communicative-aesthetic function.

Text stylistics also deals with the problem of the compositional structure of the text. Composition is a complex organization of the text, the elements of which are arranged according to a definite system and in a special succession. It implies not only certain correlations of stylistic layers within the text, but also definite schemes of text development (Одинцов, 1980:263). On the one hand composition is closely connected with the semantic structure of the text, on the other – with the type of the text. In fact it serves as one of criteria in the definition of a text type. Thus, the compositional structure of a fable is: exposition – dialogue – action – moral. The compositional scheme of the story is: title – exposition – initial collision – development of action – culmination – denouement – end. As for a sonnet, its composition consists of 2 parts including 14 lines. The first part contains exposition and the main theme. The second part presents denouement. A

concluding line of the sonnet is considered to be most significant from the point of view of both stylistic and conceptual information. The compositional structure of an application is quite different. It includes: heading, which contains the name of an applicant, his address, and the date; a brief essence of the application; the text itself which contains a request and its grounds; concluding phrases and signature.

So, the above described compositional schemes supply sufficient evidence to the fact that the compositional structure depends on a text type, and this assumption once more confirms the idea of close links between stylistics and text linguistics.

The core role in text stylistics is certainly attached to stylistic categories. This problem requires a special attention and will be discussed in other sections (see ch. 5). Here it is necessary to stress that many traditional stylistic categories and notions applied to text linguistics should be reviewed and reconsidered. For instance, such categories as imagery, implicitness, emotiveness, evaluation are regarded not as properties ascribed to separate language units, but mostly as text phenomena.

Another issue relevant to text stylistics is stylistic cohesion of the text. Among all others, the means of stylistic cohesion play a considerable, sometimes predominant role. There is a great variety of stylistic means of cohesion: parallel constructions, all types of repetition, sustained stylistic devices, symbols and so on. It is interesting to note that stylistic means of cohesion are characterized by simultaneous realization of two functions: stylistic and text-forming. We have already discussed the role of recurrence in this respect. Recent researches have shown that recurrence, traditionally studied as a stylistic means, is considered a basic factor in the structural and semantic organization of the text, and what is more, it is regarded as a fundamental principle of text integrity (Москальская, 2010). The significance of recurrence is confirmed by the facts that a) it is found practically in all languages; b) it is realized at all the language levels from a phoneme up to the whole text; c) it designates a thematic development of the text; d) it fulfills various stylistic and pragmatic functions. The following rhyme may serve as an illustration:

*For want of a nail, the shoe was lost,
For want of the shoe, the horse was lost,
For want of the horse, the rider was lost
For want of the rider, the battle was lost
For want of the battle, the kingdom was lost
And all from the want of a horseshoe nail.*

This example is interesting in many respects. First of all it demonstrates all types of repetition – anaphora, epiphora, chain repetition, framing, and anadiplosis. Then it promotes the thematic development of the text. And finally, it is a mechanism of shaping text as such.

Developing the topic of stylistic cohesion we cannot help mentioning the role of stylistic devices, especially metaphor and symbol. As is known, symbol is a trope functioning in the literary texts as a polyconceptual structure, and assuming various stylistic functions (Джусупов, 2006). At the same time, it is necessary to underline its text-forming function because symbolic meanings appear in the text on the basis of frequently repeated key notions. Here are some examples:

Rain – a symbol of unhappiness, loneliness and sufferings (in the works by E.Hemingway);

Sandcastle - a symbol of illusive love and unreal dreams (A. Murdock);

Oak tree - a symbol of powerful England (J.Galsworthy);

White monkey - a symbol of spiritual bankruptcy (J.Galsworthy).

Special significance in text stylistics is attached to the problems of individual style. Individual style (idiostyle) is regarded as a complex structural unity of the means and forms of verbal expression peculiar to certain authors, and reflecting their world vision, and subjective evaluation of the described phenomena. In this field of research good results have been achieved both in practical and theoretical aspects. Suffice it to mention the works by V. V. Vinogradov, G. O. Vinokur, I. R. Galperin, I. V. Arnold, V. A. Kukharenko and others. These works give rise to theoretical discussions of the following problems:

- individual specificity of fictional texts;
- the author's image and viewpoint;
- types of the narrator;
- a polyphonic structure of the literary text;
- correlation of individual style with general language norms;
- individual style as a specific modus of language reality;
- individual peculiarities of the language usage in the text.

The key notion of the theory of individual style is the notion of the author's image, which was introduced by V.V. Vinogradov. The author's image is a focus of the whole text, its content and compositional structure. As V.A.Kukharenko stated, the author's image is an organizing centre of the whole literary work, it combines its separate parts into a united whole characterized by a single world outlook (1988:179).

At the present stage of text stylistics a new impetus has been given to the problem of "individual paradigm", and a new term "cognitive style" has emerged. This term is defined as a style of conveying and presenting information, its peculiar arrangement in the text/discourse connected with a specific choice of cognitive operations or their preferable usage in the process of text production and interpretation (KCKT, 1996:80). Cognitive style is regarded as a style of the author's individual representation associated with his personality, the peculiarities of an individual creative process of thinking and subjective modality.

Much attention in text stylistics is attached to the language units functioning in the text. Emphasis is made on the usage of stylistically marked units, particularly stylistic devices. Traditionally stylistic devices have been studied from the point of view of their structural and semantic organization and stylistic functions. In text stylistics these units are regarded as text components playing an important role in transmitting conceptual information of the text and representing the conceptual world picture. The conceptual value of a stylistic unit will be discussed later. Here it is necessary to stress that stylistic means regarded as means of text conceptualization serve to reveal the author's conceptual world picture.

So, we have discussed the main trends in text linguistics: general theory, text grammar, text semantics and text stylistics. As for text typology, it will be discussed further in ch. III. However, the present stage of text linguistics is not confined to these areas. Along with the development of new scientific paradigms, there appeared new trends and approaches in text linguistics, which deal with the communicative-pragmatic, cognitive, linguocultural aspects of the text.

QUESTIONS AND TASKS FOR DISCUSSION:

1. What are the main trends in text linguistics?
2. What problems does general text theory deal with?
3. Formulate the subject and object of text linguistics.
4. Comment on an interdisciplinary character of the text.
5. What can you say about text delimitation?
6. What does text grammar study?
7. Characterize the notions of cohesion and coherence.
8. What types and means of cohesion are distinguished?
9. What problems is text semantics concerned with?
10. What are the peculiar features of text semantics?
11. What means is text integrity achieved by?
12. Characterize the main problems text stylistics is faced with.
13. What is the correlation between text types and functional styles?
14. Speak on the compositional structure of the text.
15. What are the means of stylistic cohesion?
16. Discuss the problems of idiostyle.

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CHAPTER III. TEXT TYPOLOGY

3.1. FUNCTIONAL-STYLISTIC APPROACH TO TEXT

Text typology is a branch of text linguistics which studies different types of texts, criteria for their differentiation, linguistic and extralinguistic peculiarities of text types, their taxonomy and classification. The aim of a scientific text classification is to present a great multitude of texts in a definite number of their types grouped on the basis of common traits. This is not an easy task. Much of confusion is caused by a great variety of texts, on the one hand, and the lack of consistent criteria for defining text types – on the other. So, there are incoherencies in defining text-types and their classification. Up to now these questions remain unresolved due to the fact that a unanimously supported approach has not been reached so far. Despite a diversity of opinions the following characteristics of a text type are supported by many linguists:

- it is a culture specific and historically stipulated productive model of text production and perception;
- it defines functional and structural peculiarities of concrete texts despite their different thematic contents;
- it is characterized by a system of invariant features compulsory for all the texts of a definite text type.

So, the type of the text can be defined as a culture specific productive model, which, being different in its content structure, is specified by a system of invariant semantic, structural and functional characteristics. It should be stressed that text classification depends on the chosen approach to text analysis. The most acknowledged is a stylistic-functional approach which, being based on the principles of communicative functional stratification, may provide solid grounds for text typology. This view finds support among many scientists (V.V. Vinogradov, M.M. Bakhtin, M.N. Kojina). Their conception rests on the assumption that there are direct correlations between a text-type and the functional style it belongs to. A functional style, in its turn, is defined “as a patterned variety of literary text characterized by a

greater or lesser typification of its constituents, supra phrasal units, in which the choice and arrangement of interdependent and interwoven language media are calculated to secure the purport of the communication” (Galperin, 1977:249).

According to this conception there are texts belonging to different spheres: literature, mass media, science, religion and so on. A functional style in general outline can be regarded as a socially acknowledged and functionally conditioned form of language style variations. Functional styles are appropriate to the norms of language codification. Limited by the most general, socially significant spheres, functional styles are not numerous. I.R. Galperin, for instance, distinguishes five styles: the belles-lettres, publicistic, newspaper, scientific styles, the style of official documents. I.V. Naer thinks that this classification might be extended by adding technical, professional and religious styles (Haep, 2002). The problem of functional styles turns out to be very debatable. Some scholars single out the conversational functional style. Others do not support this opinion on the ground that this type of a functional style does not fulfill any specific function which, as is known, serves as the main parameter of any functional style.

Disagreements on this point are accounted by the fact that the boundaries of functional styles are not very distinct, they are somehow obliterated. It means that functional styles can cross and penetrate into one another. This leads to style merging and creation of the so called “hybrid” texts. Hybridization of styles is widely observed in texts belonging to the sphere of mass media. For example, in the newspaper article many traits of the belles-lettres style can be found.

The sleepwalking president who slept through the early days of the agony in New Orleans is going through the never ending, thrilling, indefensible and reckless agony in Iraq (International Herald Tribune -2005, December 12, p.7)

This utterance taken from the newspaper article is characterized by the convergence of stylistic devices: metaphors (*slept, agony*), epithets and gradations (*never ending, thrilling, indefensible and reckless*), repetition. These stylistic devices serve as means of expressing

the author's subjective modality creating imagery and producing emotional impact. These qualities are peculiar to the belles-lettres text. So, the analyzed utterance combines the features of a newspaper article and those of emotive prose. Consequently, it leads to the creation of a "hybrid" text.

In classifying texts according to the stylistic- functional criterion it should be kept in mind that functional styles are not homogeneous, they fall into several variants, substyles and genres which constitute either the main body or the periphery of a functional style. For example, the scientific style is subdivided into academic, informative, critical, popular, educational substyles (Чернявская, 2009). As for newspaper style, it consists of news, editorial, essay, advertisement. In the belles-letters style along with substyles (emotive prose, poetry, drama) various genres are distinguished: tale, story, fable, ballad, novel, etc. The style of official documents is differentiated according to the spheres of activity – juridical, diplomatic, medical, banking texts, etc. So, there is a good reason to believe that text typology can be built on the principles of hierarchic correlation: functional style – substyle – genre – text type – text subtype.

In this system of relations a functional style is an invariant form compared to other levels of style variability, for instance, genre. The notion of genre originally employed in the theory of literature appears to be essential for text typology. This notion was elaborated by M.M. Bakhtin who regarded it as "a typical model of speech forms", and defined three factors providing basis for speech genres: 1) the semantic integrity and completeness; 2) a speaker's intention; 3) typical compositional forms (Бахтин, 1979: 241- 258). There are different classifications of speech genres. Interesting enough is division of all genres into primary (simple) and secondary (complex). The analysis of the linguistic literature and our own observations make it possible to present genre classification in conformity with the following parameters:

- according to the functional style: business genres, publicistic genres, scientific genres, belles-lettres genres;
- according to the functional-semantic criterion: description, narration, reasoning;

- according to the sphere of communication: socio-political, military, academic, religious, juridical, etc;
- according to the pragmatic intention: talks, discussions, toasts, compliments, etc.

Every functional style is characterized by its own assemblage of genres. The belles-lettres, for instance, embraces the epic genres such as novel, story, poem; the lyric genres – ode, elegy, verse, song; the drama genres – tragedy, comedy. The scientific style includes the following genres: monography, scientific article, scientific essay, review, annotation, lecture, report, information.

It is necessary to stress that the language choice within the frames of functional styles as well as genres is rather conventional. And this can be explained by unsteady boundaries between genres, their interlacing and interpenetrating character that leads to the variability of the language means forming a definite genre. However, despite the fact that genre boundaries are not distinct, and genres have numerous, sometimes mixed forms, it is possible in every concrete text to outline its dominant features manifested in sets of language means.

3.2. THE MAIN CRITERIA FOR TEXT TYPOLOGY. TEXT TYPES

Proceeding from the evident relationships between functional styles, genres and text types, we have every reason to claim that any text type should be defined in accordance with its genre characteristics, and stylistic-functional criteria should be made the basis for text typology. This assumption by no means denies other approaches and principles of text typology. G.I. Bogin, for instance, builds text typology on the principles of dichotomy distinguishing individual and collective, natural and artificial, written and oral types of texts (Богин, 1997:12-22).

Of particular interest is the approach accepted in foreign linguistics. It is based on the theory of speech acts, and each text type is defined in accordance with the addresser's intention. Thus the following text types are distinguished: order, request, requirement, promise, joke, interview, annotation, review, recipe, etc. From the stylistic point of

view text types are based on the notion of “register”. Register denotes varieties of texts reflecting different communicative situations such as shopping, advertising, church services, medicine, football and so on. This conception, however, raises some objections. I.V. Naer argues that the “register” classification is not valid inasmuch as: a) it is not based on one common criterion; b) there is confusion of stylistic and thematic factors (Haep, 2001:29).

So, our survey presents evidence to the fact that there are different views on text typology and the criteria for text classification. The diversity of opinions can be accounted for by the complexity of text itself. It follows then that there are different criteria according to which texts can be classified. Consequently, each text may refer to different typological groups, the main of them are as follows:

1. According to the character and degree of expansion we distinguish between 1) macro-text (the whole speech production) and 2) micro-text (syntactical units, paroemia, fables and so on). For example in the system of the scientific style texts are differentiated according to their length: monography, on the one hand, thesis – on the other. In fictional narratives the most extended form is a novel which can consist of volumes, parts, chapters. To the texts of small forms we refer quotations, aphorisms, proverbs and sayings, parables and so on. The following examples can serve as an illustration:

Some books are to be tasted,

Others – to be swallowed,

And some few - to be chewed and digested (F.Bacon).

People nowadays know the price of everything but value of nothing.

Give every man thine ear, but few thy voice.

The devil is not so black as he is painted.

The semantic field of such texts is not large. However, they possess all the main properties of a text – cohesion, formal and semantic integrity, thematic completeness.

2. According to the speech form texts are divided into oral and written types which differ in many aspects. We have already touched upon this problem in connection with the problem of text definition.

Here it should be stressed that this is the most disputable question. I.R. Galperin argues that texts originate, exist and develop only in the written variety. He states that text is not spontaneous, and therefore, all the qualities of the oral speech are opposed to the text (Гальперин, 1981:19).

E.S. Kubryakova objects to this viewpoint, claiming that texts can be presented both in the written and oral varieties, the latter include: reports, information, speeches. We adhere to this opinion. However, it should be acknowledged that there are fundamental differences between the oral and written types of texts. The written type is preliminarily thought over, and aimed at visual perception. It has got clear-cut signs of segmentation, graphic means which separate parts, paragraphs, fragments. The oral type is intended at auditory perception, it is spontaneous and linear, it depends on interlocutors who can interrupt the conversation, make remarks, ask again, retort and so on. The differences between the oral and the written texts are observed at each language level.

3. According to the functional style reference texts are differentiated as:

- newspaper articles (brief news items, press reports, the editorial, etc);
- official documents (business letters, records of proceedings, applications, etc);
- publicistic (chronicle, sketches, essay);
- fictional (story, novel, play, etc);
- scientific (review, article, monograph).

It is worth mentioning here that differentiation between fictional and non –fictional texts is of special relevance inasmuch as text analysis at the philological faculties is mainly done on the material of literary texts.

4. According to the sphere of communication such text types are distinguished: socio-political, military, academic, juridical, religious, etc.

5. Another criterion, which is called functional-semantic, differentiates such text forms as: description, narration, reasoning, monologue, dialogue, polylogue, and in the literary texts – the author's meditations, represented speech. Strictly speaking, these forms are

considered to be text units. At the same time they serve as a basis for a text type. The scientific text, for example, is based on reasoning. The dramatic genre is represented by monologues, dialogues and polylogues. As for the fictional texts, they are characterized by the use of all these forms in different proportions. I.R.Galperin regards these forms as a context-variative segmentation of the text. He subdivided them into: 1) the author's speech; 2) the character's speech; 3) represented speech. The author's speech includes: a) narration; b) description; c) the author's meditations. Description in its turn consists of portrait, nature, situational depictions. The character's speech consists of monologues, dialogues, and polylogues. Represented speech is a combination of the author's speech and that of the character's.

All these text units fulfill various communicative and aesthetic functions, and assume an important role in the literary text structure. Therefore it will be expedient to discuss them in detail. Narration is considered to be an inherent part of the literary text, it narrates some events in their development, conveys the plot of the text, and represents its factual information. Narration is usually connected with a certain locality and time. There are different types of narration: a) a direct author's narration (the author himself relates the events) b) an indirect narration (the addresser relates the story he was told by somebody: "X told me that") and c) a pseudo-author's narration (the addresser identifies himself as a personage) (Haep, 2001: 35-36).

My father had a small estate in Nottinghamshire; I was the third of five sons. He sent me to Emanuel College in Cambridge (D.Defoe, "Robinson Crusoe).

Here the narration is given in the first name as if the main character (Robinson Crusoe) is the author of the novel. Usually narration refers to the events which took place in the past. Consequently, past tenses of verbs prevail in the narrative prose. However, there are cases, when narration employs present tenses:

She stands, now, and walks a little space to the mirrow, watching first the shoes as she walks and then, half turning, her legs reflection.

It is a hot day of July in hot New –York. She looks next at the heel (M.Spark. “The hot house by the East River”).

Description is used for characterization of various objects of animate and inanimate nature, various artefacts, human beings and their appearances. Descriptive contexts in the literary text are characterized by the abundance of expressive means and stylistic devices:

Oh, especially in Italian Cecilia heard the poisonous charm of the voice, so caressive, so soft and flexible, yet so utterly egoistic (D.H.Lawrence, “The lovely lady, p. 247”).

In most cases description occurs in artistic portraits and nature depictions assuming very important functions of emotional impact and characterization of inner psychological state of personages. Suffice it to mention the description of a stormy night in W. Shakespeare’s tragedy “King Lear” depicting the violent torments of the overthrown king betrayed by his own daughters. The following text fragment displays his feelings: indignation, despair, damnation:

*Lear: Blow, winds, and crack your cheeks! rage! blow!
You cataracts and hurricanes, spout
Till you have drenched our steeples, drown’d the cocks!
You sulphurous and thought-executing fires,
Vaunt-couriers to oak-cleaning thunderbolts,
Singe my white head! And thou, all-shaking thunder,
Smite flat the thick rotundity o’ the world!
Crack nature’s moulds, all germins spill at once
That make ingarteful man! (W. Shakespeare, “King Lear”, p.94)*

Reasoning (the author’s meditations) also plays an important role in text perception. It usually contains the author’s conclusions, judgments, generalizations.

However, New York was not all America. There was the great clean west. So the Melvilles went West, with Peter, but without the things. They tried living the simple life in the mountains. But doing their own

chores became almost a nightmare. "Things" are all very well to look at, but it's awful, handling them, even when they're beautiful. To be the slave of hideous things, to keep a stove going, to cook meals, wash dishes, carry water and clean floors: pure horror of sordid anti-life! (D.Lawrence, Things).

The author's reasonings very clearly display his evaluation of depicted things, his social, political and aesthetic credo. It should be noted that reasoning occurs both in the author's and the character's speech, and it serves as a means of either direct, or indirect expression of the author's viewpoint. It is important to bear in mind that the above mentioned forms do not shape themselves as separate and independent spans. They are usually interlinked and interlaced, transforming one form into another.

It was nearly dinner-time when he got back, and their meal was laid in the trader's parlour. It was a room designed not to live but for purposes of prestige, and it had a musty, melancholy air. A suit of stamped plush was arranged neatly round the walls and from the middle of ceiling, protected from the fliers by yellow tissue paper, hung a guilt chandelier. Davidson did not come (W.S.Maugham, Rain, p. 39).

From the standpoint of its form this extract may be called descriptive narration because it combines the properties of both narration and description.

We have discussed the text units which constitute the author's plane in the literary text. As for character's speech, it is represented by dialogues, monologues and polylogues. The most general term here is dialogue, which in its broader sense includes both monologues and polylogues. Dialogues in the literary texts reflect the peculiarities of the oral intercourse, but they are in no way the exact reproduction of the colloquial language inasmuch as they maintain the norms of Standard English.

The dialogic text of the belles-lettres is interesting in many aspects. On the one hand, it being an analogue of the oral type of speech, is regarded as a communicative act including the following components:

addresser – message – addressee. Thus dialogues fulfill communicative functions, promote the development of the plot, and explicitly present the factual information of the text. On the other hand, dialogues serve for the characterization of a speaker's personality. They convey different kinds of pragmatic information about the personages from the point of view of their a) social and professional status; b) psychological and emotional state; c) age, gender, nationality; d) educational and cultural background. Besides, dialogues contain some conceptual information disclosing the characters' ethic, aesthetic, moral views and evaluations, individual perception of the conceptual world picture. The problem of dialogues in the literary text will be dealt with in detail in other chapters.

In conclusion it should be stressed that text typology is not a simple matter and any discussion of it is bound to reflect more than one angle of vision.

3.3. TEXT HETEROGENEITY

When analysing concrete texts, we discover that boundaries between them sometimes become less and less discernible. In this respect text typology faces the problem of text interactions, mixed text types and text heterogeneity. This phenomenon is explained by the fact that a great multitude of communicative senses, and diversity of the communicants' intentions can not be completely formalized by language means and squeezed into a standard system of a text type. Mixture of text types, which widely occurs in the belles-lettres texts has become a communicative strategy aiming to produce a certain impact on the reader. From this standpoint text heterogeneity may be regarded as a special stylistic device, the humorous and ironical effect of which is based on incompatibility, contrast and unexpectedness. The following example, taken from Byron's poem, illustrates the use of a conversational style in the poetic text:

*“Beppo!” What's you pagan name?
Bless me! Your beard is of amazing growth!
And how came you to keep away so long?*

*Are you not sensible 'twas very wrong?
 And are you really, truly, now a Turk?
 With any other woman did you wire?
 Is't true they use their fingers for a fork?
 Well, that's the prettiest Shawl – as I'm alive!
 You'll give it me? They say you eat no pork
 And how so many years did you contrive
 To – Bless me! Did I ever? No, I never
 Saw a man so yellow! How is your liver?* (B., 91- 92).

The effect of the oral speech is achieved here by the use of a) syntactical means (simple sentences, short questions, unfinished and exclamatory sentences); b) lexical units of everyday talk (*shawl, fork, pork*); c) colloquial expressions (*bless me, well*); d) contracted forms (*What's, I'm, you'll*). Text heterogeneity is manifested here in the combination of poetic and colloquial style elements. It is common knowledge that poetic texts in their classical sense are characterized by the use of noticeably literary-bookish, poetic words, expressive syntax, abundance of tropes creating imagery. In this connection it is worth citing I.R. Galperin who wrote: “But poetical language remains and will always remain a specific mode of communication. This specific mode of communication uses specific means. The poetic words and phrases, peculiar syntactical arrangement, orderly phonetic and rhythmical patterns have long been the signals of poetic language” (1977:268). The clash of heterogeneous style elements leads to the violation of genre criteria and mixture of text types.

Text heterogeneity can be also observed when the boundaries between poetry and emotive prose are almost imperceptible. It occurs in the so called “accented verse”, in which “the lines have no pattern of regular metrical feet, nor mixed length, there is no notion of stanza, and there are no rhymes” (Galperin, 1977:262). Here is an example:

*Now I am curious what can ever be more stately and admirable
 To me than my mast-hemn'd Manhatten,
 My river and sunset, and my scallop-edg'd waves of flood-tide,
 The sea-gulls oscillating their bodies, the hay-boat in the*

*twilight, and the belated lighter;
Curious what Gods can exceed these that clasp me by the hand,
And with voices I love call me promptly and loudly by
My highest name as I approach*
(Walt Whitman "Crossing Brooklyn Ferry")

This type of poetry can hardly be called verse because it violates all the laws of verse. At the same time there are some features peculiar to poetry, that is the choice of words, syntactical structures, and imagery. So, this text combines the peculiarities of both poetry and prose, therefore it is sometimes called poetic prose.

The tendency to text heterogeneity is observed in advertisements. Advertising, as is known, is a widely spread sphere of communication. The specific functions and linguistic peculiarities of advertisements provide sufficient ground for isolating and analysing it as a specific text type. The communicative intention of an advertisement is to attract the reader's attention by every possible means: graphical, stylistic, lexical, and syntactical. Advertisements are supposed to be catching; they must arouse and satisfy the reader's curiosity. One of the ways to achieve this is the contamination of text prototypes, as in:

Dave is a rabbit. He was a fish but now he's rabbit. And he's being chased by a fox. Because he's dreaming. He's dreaming because he's relaxed. He's relaxed because his organization is doing really well. It's doing really well and the profits are up. They are up because everything's running smoothly. It's running smoothly thanks to BT's communication solutions. BT's communication solutions help solve your communication problems. Which is why Dave is a rabbit.

BT. In business communication is everything.

This text is advertising the BT communication consulting company. But it is presented in the form of emotive prose, a story telling us about a shy, inexperienced young man, who is happy, relaxed and dreamy because BT's communication solutions help him solve his communication problems. The text abounds in stylistic devices – metaphors, epithets, anadiplosis, chain repetition. Here a deliberate mixture of

functional styles is observed, and that intends to realize crucial for advertisements pragmatic intentions: to attract the consumer's attention, to interest him and produce an emotional impact on him.

So, the above quoted examples testify to the fact that text typology deals not only with certain text types, but also with the problem of text heterogeneity. Consequently, texts can be classified according to the criteria of their conventionality/non-conventionality, appropriateness/non-appropriateness for the standards of a text type.

QUESTIONS AND TASKS FOR DISCUSSION:

1. What does text typology deal with?
2. Formulate the notion of a text type.
3. Characterize the functional-stylistic approach to text typological classification.
4. Speak on the problems of functional styles and genres.
5. What are the main criteria for text typology?
6. What can you say about texts of "small formats"?
7. What is the difference between the oral and the written types of texts?
8. Discuss the role of text forms (narration, description, reasoning, dialogue, etc) in the semantic structure of the text.
9. How do you understand text heterogeneity?

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CHAPTER IV. TEXT CATEGORIES

4.1. THE NOTION OF TEXT CATEGORIES AND THEIR CLASSIFICATION

One of the basic notions in text linguistics is the notion of text categories. Text category is a common property of the text inherent in all its types. Text categories in their correlations constitute text as such. Text category is considered a twofold entity formed on the basis of both semantic content and its formal means of expression (Гальперин, 1981).

The problem of text categories raises the question of their taxonomy. It should be noted that there is a considerable diversity of opinions at this point. The most complete classification of text categories is suggested by I.R. Galperin. In his monograph (1981) a detailed analysis of the following categories is given: informativity, segmentation, cohesion, continuum, prospection/ retrospection, modality, integrity, completeness. In addition to that Z.Y. Turaeva (1986) introduces such categories as progression, stagnation, the author's image, artistic space and time, causality, subtext. A.I. Novikov distinguishes such categories as extension, cohesion, completeness, succession, statics and dynamics, deep perspective. S.G. Ilyenko (1989) outlines the categories of informativity, integrity, delimitation, modality, communicativity. R. Beaugrande, W. Dressler differentiate seven text categories (standards): cohesion, coherence, intentionality, acceptability, informativity, situationality, intrtextuality (Beaugrande, 2002). Despite some discordance of opinions all scholars support the view that text categories are subdivided into two groups: semantic and structural. In other words, there are categories which deal with the semantic structure of the text, and those which secure its formal structural organization. For instance, cohesion is mainly regarded as different types of formal connections of text components, whereas coherence presupposes the semantic integrity of the text.

It is essential to note that text categories are also subdivided into obligatory and optional types. Obligatory categories being basic and

fundamental are common for all text types, and they determine a text status. Optional categories are relevant only to certain text types, they depend on a text type. Such categories as cohesion, integrity, informativity are undoubtedly obligatory inasmuch as they constitute the essence of the text. As for implicitness, subjective modality, the author's image, they may be referred to the optional type of categories because they are mostly relevant to the belles-lettres texts.

In this chapter and the next one we shall discuss the categories which, on the one hand, have not been fully elucidated in the linguistic literature, on the other – present interest for the belles-lettres.

4.2. CATEGORY OF INFORMATIVITY AND ITS TYPES

It is now common knowledge that any text is assigned to convey certain information. There are different types of information. I.R. Galperin differentiates the following types of information: content-factual, content-conceptual and content-subtextual. Factual information contains data about facts, events, actions, objects, ideas, etc. Factual information is explicit and therefore easily observed in the text. Subtextual information is implicit, and it is mostly characteristic of fictional texts. This information is embodied in some text fragments on the basis of the stylistic resources used in the text. It appears in the text due to various expressive means and stylistic devices, contextual meanings and additional senses, associative and intertextual links. So, subtext is a kind of additional hidden information that can be drawn from the text thanks to the ability of language units to engender associative and connotative meanings. Hence, the role of stylistic means in conveying subtextual information is difficult to overestimate. In this connection it is worth mentioning aphoristic statements charged with various implications.

*Oh Time, the Beautifier of the dead,
Adorner of the ruin – Comforter
And only Healer when the heart hath bled –
Time! The Corrector where our judgments err*

*The test of truth, love – sole Philosopher,
For all beside are sophists...
Time, the Avenger! Into thee I lift
My hands, and eyes, and heart, and crave of thee a gift.*
(Byron G., Childe Harold).

It is a convergence of stylistic devices (personification, metaphor, periphrasis, parallelism, gradation) that conveys subtextual information here. An abstract notion of “time” described with the help of the predicates – *Adorner, Beautifier, Comforter, Healer, Corrector, Avenger* which are personified since human abilities (*to console, to cure, to take revenge...*) are ascribed to them. This statement is characterized by a high degree of emotional impact achieved by a peculiar stylistic arrangement of the utterance and, subsequently, by subtextual information.

Conceptual information, being an essence of literary communication, reflects the author’s conceptual world picture, his understanding of people’s social, economic, political and cultural life. The decoding of conceptual information depends on factual and subtextual types of information. The final aim of fictional text analysis is to reveal conceptual information, to penetrate through the surface structure of the text into its deep-level meaning. Conceptual information is discrete and can be presented as a hierarchic system of conceptually different units. According to the degree of conceptual significance the following types of conceptual information can be singled out: microconcept, macroconcept, and superconcept. Microconcept is a conceptual meaning of a separate language unit. Macroconcept is formed within a text fragment. Superconcept is the highest conceptual unit which, covering the whole text, appears to be its semantic focus. In the process of text production conceptual information is spread in the direction: from superconcept to microconcepts, from the author’s intention to its realization in the text. In the process of text perception conceptual information has a reverse motion: from microconcepts to a superconcept.

It frequently occurs that stylistic devices become the bearers of conceptual information. For instance in the story by Chiver “The

Cheat Remorse”, conceptual meaning of antithesis is a key to the concept of the whole text.

But the clean shirt becomes an absurd and trivial thing and the dollar felt unclean in his hand (p.23).

Here the antithesis is based on the opposition “clean – unclean” created by means of word-formation. The stylistic effect of this antithesis rests on the interaction of different types of lexical meanings in the words connected by derivation. The initial word “**clean**” is used in its direct neutral meaning “чистый”, but its derivative acquires a transferred emotive meaning. It is due to this meaning that subtext is engendered. The decoding of this subtext throws light on the conceptual information of the whole text. An unemployed young man needed to take from the laundry his clean shirt because he had an appointment with his friend who had promised him a job. But he had no money to pay for the shirt. In his ambition “*to make his way in the world*” he fraudulently takes possession of a dollar deceiving the girl, for whom this dollar might also be the last “*catch at a straw*”. Having got hold of the money, the young man suffers the pangs of remorse. The word “**unclean**” expresses his feelings, when he realized the meanness of his action. With the help of the antithesis the author opposes two notions: on the one hand, the notion of “*a clean shirt*” symbolizing material well-being, on the other – the notion of “**cleanness**” (honesty) of his feelings and action, and that finally turned out to be much more important for the hero. So, the above-given statement expressed by the antithesis reflects the particular conceptual structures and cognitive habits that characterize the most essential moment of a spiritual regeneration of a man.

Besides above mentioned types there are stylistic and pragmatic types of information (Haep, 2001). Stylistic information is mostly inherent in fictional texts. But to some extent it can be discovered in publicistic and even scientific texts. This information, being expressive by its nature, is subdivided into emotive, evaluative and image-bearing types. Stylistic information can be manifested in the text both explicitly and implicitly. This type of information carries a great

weight of significance, especially in a work of fiction, for its purpose is to produce a certain impression and express the author's world view. Stylistic information closely interlaces with pragmatic one because it presupposes emotional impact on the reader and the system of his aesthetic values. But pragmatic information is much wider as it tends not only to produce an emotional impact on the reader, but also to urge him to act. Besides, pragmatic information contains knowledge about the communicants, first of all about the addresser.

It is important to note that pragmatic information is a very complex phenomenon which deals with many factors: the factor of an addresser and addressee, the ways of the most adequate presentation and distribution of information in the text, relationships of stylistic and pragmatic functions and so on. A more detailed analysis of pragmatic information will be suggested further in chapter VI. Here it is worth mentioning that pragmatic information conveys knowledge about individuals' social, professional status, role relations, cultural background, psychological characteristics, etc.

An example can be taken from the story by A. Coppard "The cherry tree" which narrates a story about a poor family, mother and two little children, who lived from hand to mouth. Eight year old Jonny left home for his uncle's in London in hope to find a job and support his family. Instead, he had to work in his uncle's garden. Here is a letter he sent to his sister:

Dear Pomona,

Uncle Herry has got a alotment and grow vegetables. He says what makes the mold is worms. You know we pulled all the worms out off our garden and chukked them over Miss Natehbols wall. Well, you better get some more quick a lot ask George to help you and I bring some seeds home when I comes next week by the excursion on Moms birthday.

You sincerely brother John Flynn.

The information structure of this text is built on the correlation of factual and pragmatic information. Factual information tells us about worms' benefit to soil and the boy's wish to do gardening at

home. More significant here is, however, pragmatic information that implicitly contains knowledge about the addresser. The abundance of grammar mistakes in this letter is indicative of a low educational level and social status of the boy. At the same time this letter characterizes the boy as a loving son striving to help his mother, and as a smart keen-witted boy of a practical turn of mind.

Another type of information correlates text and the functional style it belongs to. As is known, each functional style is characterized by a peculiar set of linguistic means. For example, such features as abundance of terms, logical sequence of sentences, direct referential meanings of the employed vocabulary, the use of sentence patterns of postulatory, argumentative and formulative character are typical of scientific texts. As for fictional texts, they are characterized by imagery, emotiveness and expressiveness created by stylistic devices, by the use of words in contextual meaning, a peculiar selection of vocabulary and syntax reflecting the author's evaluation. The genre differentiation is also relevant to the information embodied in the text. Besides, text contains information about the peculiarities of an individual style. For this very reason texts by famous authors are recognizable.

So, the category of informativity is one of the basic and compulsory text categories. However, different types of information are differently located in different texts, and can be expressed either explicitly or implicitly. In other words, the character of information depends on a text type. For instance, factual information is observed in all text types, whereas conceptual and subtextual types of information are peculiar mainly to fictional texts.

4.3 THE CATEGORY OF INTERTEXTUALITY

In discussing the problem of text categories it should be noted that many categories have got a complete account in the works by I.R. Galperin and Z.Y. Turaeva. In our manual we shall turn to the categories which have escaped much attention. In this respect the phenomenon of intertextuality is of great importance. Intertextuality is defined as

a peculiar quality of certain texts to correlate with other texts. Intertextual correlation can be manifested at different levels: thematic, semantic, structural. Some scholars consider intertextuality a text category (Чернявская, 2009:185). We adhere to this viewpoint, and suppose that intertextuality is one of important, though optional, text categories.

There are two approaches to the problem of intertextuality: from the position of theory of literature and that of linguistics. In literature intertextuality is understood in a broad sense, and any text is regarded as an intertext. It is accounted for by the fact that all texts are related to our knowledge of the world, reflect people's cultural and historical experience, and therefore any text contains elements of other texts in a more or less recognizable form. This conception found strong support among Russian and foreign scholars (Ю.М. Лотман, И.П. Смирнов, Б.М. Гаспаров, R. Barth, M. Riffaterre).

From the linguistic perspective intertextuality is limited to those texts which have explicit reference to other texts. In such cases the author deliberately conceptualizes the relationships between two texts with the help of special formal means (Арнольд, 2002; Чернявская, 2009; Пьерс – Гро, 2008). In other words, there must be special intertextual signals, indicators and markers in the text. The special literature on this subject marks various kinds of intertextual relationships: title, epigraph, "sounding names", antonomasia, parody, repetition of text forms (structure, rhythm), lexical units, allusions and etc.

Our observations have shown that one of the most frequent intertextual inclusions is allusion. Allusion in the fictional text accomplishes the function of an "intertext", decoding of which requires establishing actual connections with the original text. It is achieved by comparing and contrasting two texts and revealing their similar features. In this regard an allusive title is of most interest because, conceptualizing the whole text, it promotes a net of associations and intertextual connections with other texts. The title of the story by O'Henry "**The Gift of the Magi**" can serve as an illustration. The semantic prototype of this story is a biblical legend about the Magi who came to Bethlehem to worship newly born Jesus Christ. The story tells us about a poor young couple

who on the eve of Christmas presented each other with the gifts which, though appeared useless, became a symbol of their love, sacrifice and wisdom. The title of the story serves as a hint to a parallel between the young couple and the Magi who came from the East, brought out their gifts and presented them to the child. True love is equalled here to the wisdom of the Magi as has explicitly been shown in the text:

The magi as you know – were wise men – wonderfully wise men – who brought gifts to the Babe in the manger. They invented the art of giving Christmas presents. Being wise, their presents were no doubt wise ones, possibly bearing the privilege of exchange in case of duplication. And here I have lamely related to you the uneventful chronicle of two foolish children in a flat who most unwisely sacrificed for each other the greatest treasures of their house. But in a last word to the wise of these days let it be said that of all who give gifts these two were the wisest. Of all who give and receive gifts, such as they are wisest. Everywhere they are wisest. They are the magi (O’Henry, *The Gift of Magi*, p.36).

Intertextuality is a very important, though optional, category of belles-letters and publicistic texts. There are texts which are devoid of any references, both explicit and implicit, to other texts. In other words, there is no ground to speak about intertextuality if there are no discernible links between the two texts: original and precedent.

Things are quite different with scientific texts. Here intertextuality is a universal principle of text production. This fact is accounted for by the ontological nature of scientific cognition. Therefore the category of intertextuality is obligatory here. It should be underlined, however, that there must be a distinctive borderline between the two texts: an original and a precedent one. It follows then that scientific texts are supposed to use explicit intertextual markers: graphically designed quotations, indirect speech, references, notes, etc.

So, the study of intertextual relationships makes it possible to penetrate into deep-lying levels of the text and get a deeper insight into the author’s intention.

QUESTIONS AND TASKS FOR DISCUSSION:

1. Formulate the notion of a text category.
2. What types of text categories are differentiated?
3. Characterize the category of informativity.
4. What types of information can be distinguished in the text?
5. Draw conclusions about factual, subtextual and conceptual types of information.
6. Discuss stylistic and pragmatic types of information.
7. What is intertextuality?
8. What are the linguistic signals of intertextuality?
9. Analyze allusion as an intertext.

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CHAPTER V. FICTIONAL TEXT AND ITS MAIN CATEGORIES.

5.1. SPECIFIC FEATURES OF A FICTIONAL TEXT

A fictional text (belles-lettres text), being one of the forms of literary communication, has peculiar features which distinguish this text type from other forms of communication. The problem of fictional texts has received widespread attention among linguists. The basic notions of fiction such as imagery, emotiveness, implicitness, ambiguity, associative potential, creativity, semantic complexity were discussed in the works by V.V. Vinogradov, B.A. Larin, G.O. Vinokur, R.O. Jakobson and others.

A fictional text is regarded as one of the types of communication, that is literary communication. This assumption raises the question: how to draw a clear line of demarcation between literary and other types of communication. In other words, it is necessary to define what features determine the specificity of the belles-lettres text. I.R. Galperin indicates the following features of this text-type:

1. genuine, not trite imagery achieved by means of stylistic devices;
2. the use of words in contextual, and very often in more than one dictionary meaning;
3. the vocabulary which reflects to a greater or lesser degree the author's personal evaluation of things and phenomena;
4. a peculiar individual selection of vocabulary and syntax, a kind of lexical and syntactical idiosyncrasy.

There were attempts to define the specificity of a fictional text in the pragmatic perspective proceeding from the theory of speech acts based on the universal rules of speech behaviour (Grice, 1985). However, in the process of literary communication these rules, as has been proved by many researchers, are constantly violated. It refers to the so called "surplus" information peculiar to fictional texts. This information violates the principle of "brevity" in communication. The principle of "truthfulness" applied to a fictional text is also of a very relative character. As is known, the fictional text reflects "an imagi-

nary world”, it is not associated with the practical activity of communicants, and therefore it is devoid of factological accuracy.

With regard to fiction, T.A. van Dijk suggests the principle of “constructiveness” which is more adequate for literary communication. This principle postulates that the author’s intention in the fictional text is by no means “practical” communication, but the construction of “possible”, “imaginary” worlds for the reader (1977).

Let’s discuss Grice’s maxim of quantity, which in a fictional text correlates with two quite opposite tendencies: linguistic economy and linguistic redundancy. The principle of linguistic economy is one of the basic laws of language development. In fiction, besides traditional lexical (derivatives, compound words, all types of contracted forms) and syntactical (elliptical structures, one-member sentences, unfinished sentences) means, there are some stylistic means which also serve the aim of language economy. To such we refer antonomasia, allusion, metaphor, aposiopesis. Let’s discuss some of them.

Allusion is regarded as a reference to some historical, mythological, literary facts. Allusion, no matter whether expressed by a word, group of words or a sentence, can be regarded as a curtailed text. The use of allusion to a considerable extent increases the volume of information. The mechanism of allusion rests on the fact that it extracts from the addressee’s memory the old information meant for a new object. This phenomenon is called conceptual integration (Молчанова, 1988, 2007) and it is intended to activate a certain frame associated with historical, mythological, religious, literary facts and events and to apply it to another frame in a new context.

The same cognitive process is observed in case of antonomasia attributed to the sphere of poetic onomastics. It is a stylistic device which uses either a proper name to express a general idea or a notional word instead of a proper noun. From the stylistic point of view antonomasia is an image-bearing stylistic device aimed to express emotional, subjective-evaluative attitude of the author. From the point of view of cognitive processes antonomasia is a verbaliser of certain relevant for communication knowledge structures. From the commu-

nicative standpoint antonomasia realises the principle of linguistic economy. Thus, in O’Neil’s play “Long day’s journey into night” we find the author’s remark in the portrait description:

Jamie, the elder, is thirty three, He has his father’s broad-shouldered, deep chested physique, is an inch taller and weighs less, but appears shorter and stouter... Combined with his habitual expression of cynicism it gives his countenance a Mephistophelian cast (Three American Plays, 1972).

Here the antonomasia, expressed by the derivative adjective, is motivated by the proper name “Mephistophel” which contains knowledge structures associated with Goethe’s “Faust”. In its turn the image of *Mephistophel*, symbolising evil, malice, contempt to people, serves to characterise the personage of this play – Jamie. The principle of language economy is conditioned by “geshtalt” properties of antonomasia. It means that the antonomasia here contains the information of the whole text by Goethe, thus introducing “text into text”. One word “*Mephistophelian*” substitutes pages of long descriptions. The effect of language economy is achieved here by the fact that the author instead of long explanations uses a well-known name to characterise the personage of this play.

As has been pointed out, equally with the principle of language economy there is a tendency for language redundancy created by a great variety of repetitions of all language levels (anaphora, epiphora, framing, synomous repetitions, parallelisms, gradation and others). From the point of view of factual information the recurring elements of the text are considered superfluous, they violate the communicative postulate: “be brief”. At the same time proceeding from specific features of the fictional text, we can argue that the phenomenon of recurrence is conceptually significant for this text type. The role of repetitions will be discussed further, here it should be stressed that language redundancy is justified by the aims of communication in the work of imaginative literature.

In considering the problem of the fictional text specificity, we should not overlook the fact that these texts fulfil a double function – communicative and aesthetics-cognitive. On the one hand, fictional texts presuppose the cognitive process of interpreting the semantic content and the author’s purport, on the other – call forth an aesthetic feeling of pleasure. This feeling is caused by the selected language means and their peculiar arrangement, and also by the fact that the reader is motivated to make his own conclusions and evaluations.

The basic properties of fictional texts, as has been asserted in the linguistic literature, are emotiveness, imagery and implicitness. It should be kept in mind that in the domain of text linguistics these properties are ascribed not to separate language units, but to the text taken as a whole. To phrase it in another way, they are treated as text categories peculiar to fictional texts, and as such they require some revision and reconsideration.

5.2. THE CATEGORY OF EMOTIVENESS

The ability to produce an emotional impact on the reader, to influence his emotional state is one of the distinctive features of a belles-lettres text (Шаховский, 1978). Emotiveness due to the sensual character of human psychology is much more effective than any logical argumentation. This assumption is based on some psycho-physiological grounds. According to the psycholinguistic data communicants in the process of usual logical communication do not experience any difficulties, while the perception of emotive information takes a lot of effort. This can be compared to the “effect of a funnel”. Logical information embodied in the text goes through a wide inlet of the funnel, and that enables the reader to understand the text easily and precisely. The process of emotional perception is reverse. It is similar to the movement through a narrow inlet of the funnel, and that causes some difficulties in perception. All this stimulates the brain activity and accelerates the effect of impact on the reader (Саломян, 1968).

Emotiveness as a component of lexical semantics has been rather well studied. A complete account of such problems as emotive meaning

of the word, emotive derivation, classification of emotives in the English word-stock and others can be found in the linguistic literature. However, the problem of emotiveness as a text category has not received much attention, though there is no need to prove that emotions are mainly realized in the text (Шаховский, 1978).

Very often emotiveness is embodied in fictional dialogues which, as is known, reflect the peculiarities of colloquial speech. Colloquial speech in its turn is characterized by an emotional expression of thoughts (Балли, 1961). The dialogue from B.Shaw's play "Pygmalion" provides a convincing evidence for it:

Higgins: "You won my bet! You! Presumptuous insect! I won it! What did you throw those slippers at me for?"

Liza: "Because I wanted to smash your face. I'd like to kill you, you selfish brute."

Higgins: Ah! Would you? Claws in, you cat. How dare you show your temper to me? Sit down and be quiet.

Liza: How the devil do I know whats to become of you? What does it matter what becomes of you?

The described situation is a quarrel between Higgins and Liza exchanging "high words". Liza is indignant because she won Higgins's bet, but he didn't even thank her. The following emotives are used in this dialogue:

Liza: selfish brute, oh God! These slippers!

Higgins: presumptuous insect, on earth, cat, the devil, in heaven's name, tosh, devilish, damned, damn, heartless, guttersnipe.

A peculiar feature of text emotiveness is not an isolated use of emotives, but their convergence that creates emotive density of the text. Another example:

George – a disgusting wind-bag, an unscypulous hypocritical old hot-air merchant, a foul, poisonous, self-advertizer (Christie).

This statement is characterized by a very high degree of emotional tension due to the abundance of emotives – epithets, metaphors, evaluative words. Practically almost every word of this statement is charged with emotions which being joined in one flow produce a strong emotional impact on the reader.

A significant role in creating text emotiveness is assigned to all types of repetition. From antiquity till now the phenomenon of repetition or recurrence has been attracting attention of scholars of different fields: linguistics, theory of literature, philosophy, etc. Numerous researches dealing with this problem elucidate different sides of repetition, its structural, semantic, stylistic, syntactical and phonetic characteristics (Гальперин И.Р., Гак В.Г., Арнольд И.В., Долинин К.А., Хованская З.И.). In most works repetition is regarded as a stylistic phenomenon, and from this position various types of repetition, its stylistic and pragmatic functions have been analysed.

Recently repetition has become an object of investigation in text linguistics. Here repetition is regarded as one of the means of text formation. Many linguists think that repetition due to its structural, semantic and compositional properties plays a priority role in text cohesion and coherence (Гальперин, 1981; Змиевская, 1978; Глазырина, 1993).

In our opinion the significance of repetition in the text is not limited to its text-forming functions. Of no less importance are its semantic, stylistic and cognitive functions, and that is accounted for by such property of language which in the theory of information is called “redundancy”. Along with the cognitive principle of “language economy” redundant use of language means is an inherent property of literary communication. Redundancy is considered not as an unnecessary surplus and language imperfection, but as an indispensable and important property of a fictional text. In this connection the statement made by Y. Lotman might be of interest: «Язык страхует себя от искажений механизмом избыточности, этим своеобразным запасом семантической прочности» (Лотман, 1970: 34). So, redundancy, based on the repetition of language means, may be regarded as a cognitive principle of text production. In the fictional text it becomes

a signal of emotional information. The following example, taken from R. Frost's poem, is illustrative in this respect:

*The woods are lovely, dark and deep
But I have promises to keep
And miles to go before I sleep
And miles to go before I sleep.*

The last two lines are absolutely identical. The repetition of the same phrase seems unnecessary from the point of view of factual information. However, the analysis of the whole poem and the repeated lines makes it possible to extract additional information. The semantic content of this text reflects the inner world of the hero, a spiritual conflict between his wishes and preferences on the one hand, and his responsibilities and life circumstances – on the other.

A lonely traveller, a poor farmer stopped by the woods fascinated by its beauty on a snowy evening. He would rather stay there and enjoy a quiet charm of nature, but unfortunately had to continue his way. This information is given in the first line of the repetition. The second line is enriched with a new content of emotional character. Here the author expresses the feelings of regret, sorrow and sadness of the man who was not his own master, could not enjoy BEAUTY in full, and had to return to the routine of his hard life.

5.3. THE CATEGORY OF IMAGERY

It is well-known that the study of imagery has a long history. Genetic roots of this phenomenon go back to the works by ancient philosophers – Aristotle, Zizeron and others. The first scientific description of this notion is found in the theory of poetic image by A.A. Potebnya and V.V. Vinogradov. They studied imagery at the level of the text and regarded it as an important component of text semantics.

The deep structure of imagery consists of three components: 1. Image referent; 2. Image agent (reflected object); 3. Image basis (com-

mon features which arise from the principle of similarity) (Мезенин, 1983). There are different views on the problem of imagery in the linguistic literature. Some scholars claim that imagery is created by various image-bearing stylistic devices – metaphor, simile, antonomasia, etc (Кухаренко, 1988; Арнольд, 1999). Others argue that imagery at the level of the text is not limited to the use of figurative means. It is inherent in the fictional text even if it does not contain image-bearing stylistic devices. It is accounted for by the fact that the work of fiction is not a direct copy of reality, it is reflection of an imaginary world. This conception is supported by those scholars who tend to treat imagery at the level of the plot of the text (Лютман, 1970; Тодоров, 1983). In this sense analogies between the world of reality and that of the text can be interpreted as a conceptual metaphor.

A cognitive turn in the study of language and style has given rise to a new theoretical approach to the problem of metaphor. New areas have been opened up for the research of this phenomenon. The most important remark to be made is that metaphor is regarded not only as a stylistic device, but also as a cognitive mechanism which incorporates cognitive processes, empirical experience and language competence. Conceptual metaphor is attributed to the formation of a personal world model and emotive system. It is one of the fundamental processes of human cognition in the framework of a more generalized process of analogical thinking (Теория метафоры, 1990).

In line with this conception the study of conceptual (cognitive) metaphor relates linguistic phenomena to cognitive structures and processes. Metaphor is interpreted as a language means based on the mental process of analogy and knowledge transfer from one pithy field into another (Петров, 1990, 1993). So, metaphor is a cognitive model, a specific way of conceptualizing reality in a fictional text. The basic properties of cognitive metaphor can be designated as a) ability of modelling reality and b) a broad extended system of associations. To illustrate this let's turn to the analysis of an extract from J.Galsworthy's story "The Apple Tree".

It was nearly eleven that night when Ashurst put down the pocket "Odyssey" which for half an hour he had held in his hands without reading, and slipped through the yard down to the orchard. The moon had just risen, very golden, over the hill, and like a bright, powerful, watching spirit peered through the bars of an ash tree's half-naked boughs. In among the apple trees it was still dark, and he stood making sure of his direction, feeling the rough grass with his feet. A black mass close behind him stirred with a heavy grunting sound, and three large pigs settled down again close to each other, under the wall. He listened. There was no wind, but the stream's burbling whispering chuckle had gained twice its daytime strength. One bird, he could not tell what, cried "Pip-pip," "Pip-pip," with perfect monotony; he could hear a night-jar spinning very far off; an owl hooting. Ashurst moved a step or two, and again halted, aware of a dim living whiteness all round his head. On the dark unstirring trees innumerable flowers and buds all soft and blurred were being bewitched to life by the creeping moonlight. He had the oddest feeling of actual companionship, as if a million white moths or spirits had floated in and settled between dark sky and darker ground, and were opening and shutting their wings on a level with his eyes. In the bewildering, still, scentless beauty of that moment he almost lost memory of why he had come to the orchard. The flying glamour which had clothed the earth all day had not gone now that night had fallen, but only changed into this new form. He moved on through the thicket of stems and boughs covered with that live powdering whiteness, till he reached the big apple tree. No mistaking that, even in the dark, nearly twice the height and size of any other, and leaning out towards the open meadows and the stream. Under the thick branches he stood still again, to listen. The same sounds exactly, and a faint grunting from the sleepy pigs. He put his hands on the dry, almost warm tree trunk, whose rough mossy surface gave forth a peaty scent at his touch. Would she come – would she? And among these quivering, haunted, moon-witched trees he was seized with doubts of everything! All was unearthly here, fit for no earthly lovers; fit only for god and goddess, faun and nymph not for him and this little country girl. Would it not be almost a relief if she did

not come? But all the time he was listening. And still that unknown bird went “Pip-pip,” “Pip-pip,” and there rose the busy chatter of the little trout stream, whereon the moon was flinging glances through the bars of her tree-prison. The blossom on a level with his eyes seemed to grow more living every moment, seemed with its mysterious white beauty more and more a part of his suspense. He plucked a fragment and held it close – three blossoms. Sacrilege to pluck fruit-tree blossom – soft, sacred, young blossom – and throw it away!

The analyzed extract presents a detailed description of the apple-tree orchard in blossom. The style of the text is elevated and poetic, the character of description is detailed and extensive. The use of poetic lexicon (*spirit, bewitched, glamour, moon-witched, unearthly, god, goddess, fawn, nymph, mysterious*) and extended syntactical constructions testify to it. The text is characterized by the highest degree of emotional tension, which arises mostly from the convergence of stylistic devices: **epithets** (*creeping moonlight, bewildering, still scentless beauty, quivering, haunted, moon-witched trees, soft, sacred, young blossom*), **personification** (*the stream’s burbling, whispering chuckle, busy chatter of the little trout stream, the moon was flinging glances*), **similes** (*he had the oddest feeling of actual companionship, as if a million white moths or spirits had floated it and settled between dark sky and darker ground and were opening and shutting their wings on a level with his eyes*).

The author strives to describe the blossoming orchard so that the reader might be imbued with a sense of its bewildering beauty. At first sight it seems that this is the main purport but let’s proceed with our analysis. Most notable is the fact that the description of the orchard ends with quite an unexpected metaphor expressed by an occasional composite “**tree-prison**”, which is opposed to all other language means of poetic character. The contrast created by this metaphor serves as a signal of conceptual information, and fixes the reader’s attention on this image. Considerably important is the fact that metaphor is expressed here by a composite consisting of two components: tree and prison.

Each component comes into semantic interaction with other language units forming two lines of stylistic associations which, penetrating the whole text, interlink in the metaphor. The component “*tree*” is associated with those parts of the text that contain the orchard’s description (*rough grass, innumerable flowers and buds, blossoms, orchard, open meadows, powdering whiteness, golden moon*). “**Tree**” as a part of the orchard symbolizes the image of NATURE. The other line of associations is presented by the second component – prison. The meaning of this word, suggesting the idea of power, subordination, influence, gives rise to associations which symbolize supernatural, magical influence of NATURE on MAN (*bright, powerful, watching spirit, mysterious white beauty, bewitched to life, living whiteness*).

This is a cognitive metaphor, in which two domains, two semantic layers (Nature and Man) are involved. Being complexly interwoven, they create the verbal textual field with a ramified system of associations. The cognitive metaphor here conceptualizes the author’s purport which is understood as the influence of nature on the man. It becomes clear that the content of the text is not confined to a mere description of the orchard; it contains implicit information indicative of the hero’s inner state, his subtle, poetic nature and a sense of beauty. This information appears to be very important for interpretation of the whole story because it might change the reader’s evaluation initially done on the basis of only factual information.

The conceptual and aesthetic value of the cognitive metaphor here rests on the fact that imagery created by this device extends over the whole text, thus becoming an embodiment of the concept: Nature and Man. The two images, penetrating into each other and integrating into one emergent structure by means of the metaphoric mechanism, constitute one of the main conceptual layers of the world picture.

In sum, the following conclusions can be done:

- imagery is an inherent category of a fictional text;
- imagery is based on the mechanism of analogy when at least two things appear to be conceptually parallel to one another;
- imagery plays a central role in the world picture conceptualization.

5.4. IMPLICITNESS AS A TEXT CATEGORY

Implicitness, aimed to transfer indirect, hidden, not completely verbalized information, is another inherent category of a fictional text. The problem of the implicit originated from the study of “subtext”, “the mystery of creation” of literary works (Z.V. Scherba, G.O. Vinokur, V.V. Vinogradov, A.A. Potebnya and others), or “poetic world” (Y.M. Lotman), “the second plane of the work” (R. Bart, Y. Mukarjovskiy, G.S. Stepanov, L. Todorov). This problem has been rather well cultivated in the linguistic literature. Much attention has been paid to the status of implicit information in the English belles-lettres text, mechanisms of engendering implicitness in the verbal system of the text, taxonomy of language units indicative of implicitness (I.V. Arnold, I.R. Galperin, V.A. Kukhareno, A.N. Morochovskiy, Y.M. Skrebnev, Z.Y. Turaeva).

The monograph by G.G. Molchanova contains a detailed description of all the language means manifesting the category of implicitness. G.G. Molchanova introduces the notion of an “implicate” regarded as a text component. An implicate is a twofold structure and semantic unit of the implicit layer; it reflects the problem situation in the text, its communicative and stylistic tension. Implicates serve as prompts for the readers to understand the essence of things being hidden, buried, not available to direct visual perception. There are different types of implicates. Their classification is based on violation of the communicative principles suggested by Grice (1985). According to the aims of communication Grice distinguishes some principles of communication or rather cooperation, which are subdivided into four communicative postulates: Quantity, Quality, Relation and Manner¹.

1. Violation of the postulate or Maxim of Quantity (“be brief”) is relevant to such implicates as alliteration, anaphora, epiphora, all kinds of repetition. From the point of view of factual information these implicates seem to be redundant. However, a deliberate

¹Grice’s conception of communicative postulates will be discussed further (see 6.4). Here this theory is touched upon in connection with the fact that some specific features of a fictional text are determined by various violations of communicative postulates.

abundance of one and the same language sign in the text leads to appearing new implicit information;

2. Violation of the postulate or Maxim of Quality (“try to make your contribution one that is true”) is conditioned by the use of such implicates as metaphor, hyperbole, litotes, pun, irony, based on the contrast of real and “imaginary” worlds;

3. Violation of the postulate or Maxim of Manner (“avoid obscurity”) causes implicitness based on violation of logical succession in the text such as retrospection, prospection, implication of precedence, open ending, etc.

So implicitness is created by a multitude of language means; among them a special emphasis should be put on implicit titles, implicit poetic details, fictional dialogues, and certainly, stylistic devices. Let’s analyse the linguistic mechanism of implicitness in such a poetic detail as portrait description. In the linguistic sense “portrait” is a text fragment consisting of one or more sentences which serve one of the communicative aims – to characterize a personage or express his inner psychological state. To put it another way, portrait description is an implicit way of presenting personages’ character. Correlation between two semantic layers “appearance” and “inner world” explains the mechanism of the implicit. Appearance or the external features of objects are indicative of their internal characteristics. It is very well illustrated by the saying: “*The face is a window to the soul*”. So, fictional portrait is characterized by a two-level structure, one level of which, being the verbal description of personages’ appearance, is explicit, the other, aimed to reveal “the inner world”, is implicit (Ақбарова, 2005: 25). An interesting illustration of this is found in the description of the old man’s appearance from E. Hemingway’s “The Old Man and the Sea”:

Everything about him was old except his eyes and they were the same colour as the sea and were cheerful and undefeated (p.11).

The researches dealing with the problem of portraying focus attention on the portrait structure consisting of several constituents linked by hypo-hyponymic relations. It is of interest to note that many

components of this structure assume a symbolic meaning. Thus, “a squared chin” symbolizes a firm, strong-willed character. This detail is used by J. Galsworthy in the novel “The Man of Property” to characterize Soames Forsyte:

*Soames with his **set lips** and his **squared chin** was not unlike a bulldog (p.128).*

A squared chin is a characteriological detail of all the members of the Forsyte family – typical representatives of the English bourgeois class. In the context of this description a complex interaction of two levels is observed. The first surface level is an explicit description of the personage’s appearance (set lips, squared chin), which ironically emphasizes the likeness between Soames and a bulldog. The second deep level implies the inner psychological characterization which is regarded as a process of predicating some qualities, properties, features, states to a personage. In this case Soames is depicted as a man of a strong, tenacious character, a man of property, who strives for material values, prosperous life, wealth and affluence.

It should be noted in passing, that with respect to inner characterization other components of portrait structure, such as “head”, “nose”, “shoulders”, “elbows” are no less important. It can be confirmed by a number of phraseological units and paroemia:

to keep one’s head above water (бороться с трудностями), a long head пронцательный;

he that has a great nose thinks everybody is speaking of it (на воре шапка горит);

his shoulders are broad enough (он достаточно решительный человек, чтобы взять на себя ответственность).

One of the significant forms of conveying implicit information is a fictional dialogue which serves as a means of presenting “linguistic personality” in the text. Linguistic personality is a manifold, multi-

component and structurally organized set of language competences, a certain linguistic correlate of the spiritual world of a personality in the integrity of his social, ethnic, psychological, aesthetic characteristics (Капулов, 1987: 71). To decode implicit information about the linguistic personality let's turn to the analysis of the dialogue from J.Galsworthy's novel "The man of property":

Dinner began in silence; the women facing one another, and the men.

In silence the soup was finished – excellent, if a little thick; and fish was brought. In silence it was handed.

Bosinney ventured: "It's the first spring day."

Irene echoed softly: "Yes – the first spring day."

"Spring!" said June: "there isn't a breath of air!" No one replied. The fish was taken away...

Soames said: "You'd better take a cutlet, June; there's nothing coming."

But June again refused, so they were borne away. And then Irene asked: "Phil, have you heard my blackbird?"

Bosinney answered: "Rather--he's got a hunting-song. As I came round I heard him in the Square."

"He's such a darling!"

"Salad, sir?" Spring chicken was removed.

But Soames was speaking: "The asparagus is very poor. Bosinney, glass of sherry with your sweet? June, you're drinking nothing!"

June said: "You know I never do. Wine's such horrid stuff!"

An apple charlotte came upon a silver dish, and smilingly Irene said: "The azaleas are so wonderful this year!"

To this Bosinney murmured: "Wonderful! The scent's extraordinary!"

June said: "How can you like the scent? Sugar, please, Bilson."

Sugar was handed to her, and Soames remarked: "This charlotte's good!"

Bosinney counted up the stones: "This year--next year--some time."

Irene finished softly: "Never! There was such a glorious sunset. The sky's all ruby still--so beautiful!"

He answered: "Underneath the dark."

Their eyes had met, and June cried scornfully: "A London sunset!"

The scene presented here is very simple: dinner at Soames'. Soames and his wife Irene invited June and Bosinney (bride and groom) for dinner. At first sight nothing extraordinary is happening: just a trivial exchange of remarks about the weather, flowers, dishes, etc. However a deeper insight into the author's intention makes it possible to extract additional implicit information about the personages, their inner emotional state. Speech characteristics of Irene and Bosinney surprisingly coincide – exclamatory sentences, interjections, epithets charged with positive emotive meanings (*wonderful, beautiful, glorious*). They admire the sunset, the scent of flowers, the singing of birds. All this provides evidence to the fact that they are emotionally excited due to an arising feeling of love.

June, on the contrary, is displeased with everything. Her speech is built on quite opposite characteristics: negative constructions, words with negative meaning (*horrid, scornfully*). It shows her inner discomfort and the feeling of jealousy. Soames as a man of practical attitude of mind is completely unaware of the feelings of his table companions; his attention is concentrated on the dinner itself (*You'd better take a cutlet; the asparagus is very poor, glass of sherry*).

So in this dialogue, or rather polilogue, there are two levels of perception: superficial, explicit which conveys communicative-referential information, and deep-lying, implicit one which conveys conceptual information.

We have discussed the most relevant for the belles-lettres text categories – imagery, emotiveness, implicitness. But, they by no means reduce the significance of other categories – informativity, modality, retrospection, prospection and others. It should be stressed that text categories are closely connected, interdependent and interrelated. In other words, being complexly interwoven, they penetrate into one another. For instance, implicitness arises from imagery, the latter, in its turn, engenders emotiveness and modality.

In conclusion, it is necessary to emphasize that the problem of text categories despite the fact that there are a lot of researches in this field leaves many questions open for discussion. It concerns both taxonomy of text categories and their hierarchical relations.

QUESTIONS AND TASKS FOR DISCUSSION

1. What are the linguistic features of the belles-lettres text?
2. Specify the main functions of fictional texts.
3. What signals of emotional information can be found in the text?
4. Comment on the role of a) repetition; b) convergence of stylistic devices in conveying emotional information.
5. What is imagery? Speak on different approaches to the notion of imagery.
6. Formulate the notion of cognitive metaphor.
7. Draw conclusions about imagery as an inherent category of a fictional text.
8. Discuss the category of implicitness and formulate the notion of an implicate.
9. What are the signals of implicit information in the text?
10. What is the role of a) poetic details; b) portrait descriptions; c) fictional dialogues in revealing implicit information?

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CHAPTER VI. TEXT AS A UNIT OF COMMUNICATION

6.1. THE COMMUNICATIVE NATURE OF TEXT

The present stage of linguistics is characterized by a heightened interest of scholars to the problems of the communicative theory of text. It has been proved that the structural model is not sufficient for defining the notion of text since the multitude of language signs assumes meaning only in the process of communication. It is essential for text linguistics to understand text as a process that presupposes the necessity to take into account all the conditions of communication and communicants' characteristics.

In this field of research considerable results both in Russian and foreign linguistics have been achieved (И.Р. Гальперин, Г.В. Колшанский, О.Г. Москальская, Е.С. Кубрякова, Р. Якобсон, Т. А. van Dijk, N.E. Enkvist, P. Hartman). Many modern text theories were originated by the ideas raised in the works by M. M. Bakhtin, who was the first to point out that "language lives in the dialogic communication of language users" (1979). M. M. Bakhtin regarded text as an element of the communicative process, beyond which it cannot be understood to a full extent. M. M. Bakhtin's ideas about the dialogic character of text, the author's intention as the most important factor of communication, an active role of a reader (listener) have become of special topicality for the communicative theory of language in general, and text in particular.

The communicative theory of language has been in detail developed in the works by G.V. Kolshanskiy, who stated that text is a main unit of communication since only text can present a real communicative act (1980:62). It follows then that a set of structural units is transformed into the communicative integrity of the text on the basis of a thematic structure of the speech act, which in its turn is determined by a concrete situation and communicants' intention.

So, the assumption that text is a communicative unit has been generally acknowledged. Indeed, text reflects the main parameters

of the communication process: speaker (sender, addresser) – listener (recipient, addressee) – referent (world fragment of objects, images). According to some scholars (Dridze, 1980; Bolotnova, 1988) communication realized by means of the text is regarded as a system of actions, as an activity aimed, on the one hand, at the production of texts (text formation), on the other – at understanding, interpretation (text perception). Consequently, there appears the necessity to look at the text as a twofold communicative act, and analyse it from the stand points of both the addresser and addressee.

The factor of the addresser related to text production puts forward the problem of pragmatic category of intention (communicative aim). The factor of the addressee raises the problem of text perception (understanding, interpretation).

6.2. TYPES OF COMMUNICATIVE AIMS AND INTENTIONS

There is no doubt that text is created to realize some definite communicative aims. O. G. Moskalskaya states that the communicative intention, conditioned by a communicative situation and the tasks put by the addresser, lies in the basis of any text (1984).

The choice of adequate language means depends on the author's intention. Besides, speech forms, genres and text types are also chosen in conformity with the author's intention. But, the problem of the communicative intention, its types has not been well elaborated. There are different classifications of communicative intentions. Here is the one suggested by O.G. Moskalskaya:

1. to inform – to state – to affirm;
2. to pass – to describe – to tell – to evaluate – to depict – to review;
3. to explain – to compare – to summarize – to generalize – to conclude;
4. to substantiate – to prove – to deny – to expose;
5. to comment – to argue;

6. to urge – to ask for – to call for – to appeal – to demand – to instruct – to order

7. to ask.

In a more generalized sense these communicative intentions can be combined and classified into three types: narration – motive (inducement) – question.

The notion of communicative intention is employed in the theory of speech acts. In accordance with the type of a communicative intention the following types of speech acts are distinguished:

1. representatives – information about the situation;
2. directives – urging the addressee to act;
3. commissives – the addresser aims to perform the action himself;
4. expressives – describing the communicants' inner emotional state;
5. declarations – information about some actions performed by the communicants (Searle, 1976).

The communicative aim is closely interrelated with the notions of functional styles, text genres and text types. The problem of text genres and text types has been discussed in section 3.1. Here we shall concentrate attention on interdependence of a communicative aim and functional styles which becomes evident from the definition of a functional style: “a functional style of language is a system of interrelated language means which serves a definite aim in communication. In other words, a functional style is regarded as a product of a certain concrete communicative task set by the sender of the message” (Galperin, 1977:33). The correlation between communicative aims and functional styles can be presented as follows:

- | | | |
|----------------------|---|--|
| Belles-lettres style | → | to produce an aesthetic influence on the reader (listener); |
| Publicistic style | → | to exert a constant and deep influence on the public opinion and to cause the reader (listener) to accept the point of view expressed in the text; |
| Newspaper style | → | to inform and influence the public opinion on political and other matters; |

Scientific style → to prove a hypothesis, to create new concepts;

The style of official documents → to reach agreement between two contracting parties.

So, there is every reason to believe that intentionality is the main communicative category of the text as a communicative unit. It pre-determines all the language peculiarities of the text: the choice of words most appropriate for the described communicative situation, the syntactical arrangement of the text and its compositional structure.

6.3. THE NOTION OF DISCOURSE

The study of text as a component of the communicative activity with regard for all extralinguistic factors of communication causes the necessity to introduce a new term – “discourse”. The term “discourse” has been originated from Latin – movement, succession. The notions of “text” and “discourse” are correlative, but not equivalent. Text is a part of discourse, it is created in the process of discourse (Кубрякова, 2001).

At present a lot of researches are concerned with the problem of discourse analysis (Арутюнова, 1990; Кубрякова, 2001; Макаров, 2003; Карасик, 2004; Stubbs, 1983; Harris, 1952; Prince, 1988). There is a variety of views, trends, approaches to this problem. M. Stubbs outlines three main characteristics of discourse:

- formally, discourse is a unit exceeding a sentence;
- from the point of view of the semantic content discourse analysis focuses on the socio-cultural context;
- discourse is characterized by an interactive dialogic structure.

N. D. Arutyunova distinguishes the notions of text and discourse stating that the latter represents culturally conditioned and socially oriented communicative activity. Discourse is a text in dynamics. It is a purposeful social activity based on interaction of language and cognition (ЛЭД, 1990).

V. Karasik understands discourse as a text in the situation of real communication. He states that discourse can be viewed from different angles: linguistic, sociolinguistic, pragmatic. The linguistic approach

presupposes the analysis of discourse in the aspects of its completeness, correctness, logicity. In its sociolinguistic perspective discourse deals with the participants of communication, their social and cultural status and roles. From the position of linguopragmatics the mode of discourse including the channel (if it is spoken or written or a combination of the two), register, style and genre of communication, are taken into consideration.

Of great interest is the conception of discourse put forward by Halliday and Hasan (1985). They distinguish three situational parameters of discourse: field, tenor and mode. Field of discourse refers to what is happening, to the nature of the social action that is taking place: “what is it that the participants are engaged in”. Fields of discourse can be non-technical, as is the case with the general topics that we deal with in the course of daily life. Or they can be technical or special as in linguistics, law, engineering, physics, computer science and many other fields. Tenor of discourse refers to “who is taking part, to the nature of the participants, their status and roles: what kinds of relationships are obtained among the participants, including permanent and temporary relationships of one kind or another, and the whole cluster of socially significant relationships in which they are involved” (Halliday and Hasan, 1985:12). So, tenor of discourse indicates the relationships between discourse participants as manifested in language use. Participants’ relationship varies from one group to another. It may be that of a patient and a doctor, a mother and her child, a teacher and a student, etc. Mode of discourse is a term that refers to “what part the language is playing, what it is that the participants are expecting the language to do for them in that situation: the symbolic organization of the text, the status that it has, and its function in the context, and also the rhetorical mode, what is being achieved by the text” (Halliday and Hasan, 1985:12).

Although linguists vary in their views on what discourse is, they all support the idea of its situational interpretation. It means that discourse should be analysed in a complex combination of social, psychological, cultural conditions of communication.

6.4. THE PROBLEM OF TEXT PERCEPTION AND INTERPRETATION

Proceeding from the assumption that text is a product of the primary communicative activity of the addresser, and the secondary communicative activity of the addressee, we should also regard the addressee factor as a significant communicative category of the text. In this connection the problem of perception as a constituent part of the addressee factor assumes an important role. In other words, the communicative approach to text makes it necessary to regard the process of perception as an inherent component of text communication. Only on this condition does the text realize its communicative function and become a real means of communication. This idea is not new; it was expressed by Z. V. Scherba, who stated that the process of communication is a twofold activity consisting, on the one hand, of speaking and, on the other – of understanding. The linguists are interested in the process of speaking rather than understanding because the former is easier observed. Nevertheless, communication is ensured by both speaking and understanding bound together (Шерба, 1947).

The process of perception (understanding) is a complicated mechanism based on the interrelation of many factors which are studied not only by linguistics, but also psychology, philology, aesthetics, theory of literature and others. The linguistic basis of perception, in our opinion, constitute such semantic and structural properties of the text which make its understanding easier, and stipulate an adequate transference of information and, consequently, the effectiveness of communication.

Discussing the problem of text perception, we can't help touching upon the problem of text interpretation. It should be noted that the process of interpretation is a purposeful cognitive activity aimed to disclose deep conceptual contents. The procedure of interpretation is based on constructing and verifying hypothesis concerning deep-lying conceptual information of the text. Cognitive linguistics states that interpretation should be done within the framework of certain modules of understanding:

- using language knowledge;
- constructing and verifying hypothetical interpretations;
- constructing the “model world” of the text;
- reconstructing the author’s intention;
- establishing relationships between the “inner world” of the addressee and “model world” of the addresser.

From the linguistic point of view an important stage of interpretation is finding basic linguistic signals, marks to be guided by in the process of interpretation. To such signals we refer the language means (words, constructions) put in the position of salience, foregrounding, focus. They are: key words, various kinds of repetition, convergence of stylistic devices and many others, which make searching for relevant information easier.

It should be noted that text perception and interpretation depend on both linguistic and extralinguistic factors of communication. The linguistic factors include the selection and arrangement of language means belonging to all levels of language hierarchy with due regard for their language and speech characteristics, grammatical paradigms, semantic and syntactical relations in the text. As for extralinguistic factors, they play significant, sometimes predominant role in text perception. In this respect the role of presuppositions, background knowledge, cultural context should be particularly underlined. Besides, extralinguistic factors include the addresser’s and addressee’s personality, the aims and tasks of communication, sociocultural conditions of communication and so on. According to G.V. Kolshanskiy, the extralinguistic context includes all the factors concomitant of verbal communication, starting with a concrete communicative situation, and ending with an entire assemblage of cultural and social conditions determining the language structure of the text (1984:38).

So, the communicative approach to text, its production and perception designates the integration of different aspects in text analysis, not only linguistic, but also psychological, social and cultural determiners.

6.5. COMMUNICATIVE POSTULATES BY G. GRICE IN THE LIGHT OF TEXTUAL COMMUNICATION

The problem of understanding has been rather accurately elaborated in the theory of speech acts. The communicative postulates formulated by G. Grice (1985) are aimed to achieve understanding in communication. This theory has gained recognition among linguists, and, therefore it is worthy of discussion. It should be kept in mind that these communicative rules were applied to conversation, i.e. dialogic speech. With regard to text, however, they need some modifications.

The main principle of communication is the principle of cooperation, which means that any speech act should be appropriate to the communicative aim. This principle is based on four maxims: 1) maxim of quantity: the speech act should contain as much information as it is needed; 2) maxim of quality: tell the truth; 3) maxim of relation: be relevant; 4) maxim of manner: speak clearly, speak consistently.

Maxim of quantity determines the amount of information needed:

1. your utterance should contain no less information than needed;
2. your utterance should contain no more information than needed.

Maxim of quality includes the following postulates:

1. try to make your utterance true;
2. don't say what you consider false;
3. don't say anything you have not enough grounds for.

Maxim of relation has one postulate: speak to the point.

Maxim of manner deals with "not what to say" but "how to say".

It includes the postulates:

1. express yourself clearly;
2. avoid obscure expressions;
3. avoid ambiguity;
4. be brief (avoid unnecessary verbosity);
5. be organized

On the whole these communicative postulates can be accepted. In spite of the fact that they refer to a dialogic speech, they are quite appropriate to many text-types. For instance, such postulates as "be relevant", "express yourself clearly", "tell the truth", "be brief" are re-

levant for most texts. At the same time it is necessary to keep in mind that in some cases these postulates do not work. This is the reason why Grice's theory has been criticized in the linguistic literature. For example, in the process of literary (fictional) communication these rules of communication are constantly violated, and this can be confirmed by the results of many researches related to belles-lettres texts. First of all it concerns the so called "redundant" and "non-relevant" information inherent in the fictional text and violating the principle of "briefness". Then it refers to implicit, ambiguous information violating the principle of "clarity" in communication. Besides, the criterion of "truthfulness" is very relative because a fictional text has a generalized content not connected with the communicants' practical activity, and, therefore, devoid of factological exactness. T. A. van Dijk argues that not the principle of communication by Grice G. P., but the principle of "constructiveness" should be considered relevant to the sphere of literary communication (1977). This principle can be explained by the author's intention aimed not at the practical interaction with the reader but at the construction of a linguistic object and a number of "possible worlds" for the reader.

Of great interest is the theory suggested by Leech G. N. (1983), who argues that the principle of cooperation can be applied only to interpersonal communication, and therefore it is opposed to textual communication, the latter is based on the principles of clarity, language economy and expressiveness. Besides Leech G.N. introduces the principle of politeness, consisting of maxims of tact, approval, modesty, nobility and irony (Leech, 1983). So, there are various communicative principles of textual communication. They are complexly interlaced, and in concrete situations some of them in accordance with sociocultural conditions become dominating.

In conclusion the major points may be summarized as follows:

- text should be regarded as a dynamic model of a twofold communicative act;
- text should be studied in the context of a concrete communicative situation with regard for socio-cultural background, presuppositions, knowledge fund, background knowledge and so on;

● text analysis should be concerned with both the process of text production and text perception, and, consequently, with the addresser's and addressee's factors.

QUESTIONS AND TASKS FOR DISCUSSION

1. Why is text considered a main communicative unit?
2. What types of communicative intentions are distinguished?
3. Draw conclusions about the correlation between communicative aims and functional styles.
4. Formulate the notion of discourse. How are the notions of text and discourse correlated?
5. What is the linguistic basis of text perception and interpretation?
6. What modules of understanding does text interpretation consist of?
7. Discuss the role of extralinguistic factors in the process of text interpretation?
8. Characterize the communicative postulates formulated by G. Grice.
9. How can the communicative postulates be applied to textual communication?
10. Comment on other communicative principles suggested by T.A. van Dijk and G. N. Leech.

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CHAPTER VII. TEXT PRAGMATICS

7.1. THE PRAGMATIC APPROACH TO THE TEXT

The study of text as a means of communicative interaction in the sociocultural context puts forward the problem of text pragmatics as one of the main text parameters. Before we proceed with the discussion of this problem, it is necessary to ascertain some assumptions of linguopragmatics.

Linguopragmatics is one of the trends of communicative linguistics, which in its general sense can be defined as a science studying language factors within the sphere of human activity with an accent on psychological, social and cultural aspects of language functioning. There is a variety of definitions concerning linguopragmatics. Summing up all the views, we can point out the following aspects and approaches:

- the relations between a sign and its users (Morris, 1978:8);
- contextual conditionality, language usage, language in the context (Сусов, 1985:4);
- speech impact on the addressee, the factors influencing successful and effective communication (Кисилева, 1978:8);
- interpretative aspects of speech communication (Арутюнова, 1989);
- language as a tool of a purposeful communicative activity (Грайс, 1985);
- the problem of mutual understanding and appropriateness of language use (Dijk T.A. van, 1977).

It is necessary to note that all these aspects are by no means incompatible. They present linguopragmatic researches in a variety of domains which are mutually complementary. The analysis of the linguistic literature has shown that linguo– pragmatics embraces a wide range of problems, but for text linguistics the most relevant of them are:

- speech strategies and speech impact;
- pragmatic intentions and their types;
- appropriateness and effectiveness of textual communication.

Before proceeding with the analysis of these problems, it should be stressed that the pragmatic approach to the text requires the term “discourse”. The notion of discourse has been already discussed (see 6.3). It should be stressed here that this term is rather ambiguous, and is still under discussion. There are many views, approaches, trends. Despite the multitude of discourse definitions the idea of its situational interpretation receives strong scientific support. It means that discourse should be analyzed in a complex combination of social, psychological, cultural conditions of communication. In other words, as Karasik V. has put it, within the framework of linguopragmatics (2004).

So, discourse pragmatics raises the question of situational interpretation which, in its turn, introduces the notion of a communicative-pragmatic situation. The communicative-pragmatic situation is understood as a complex of external conditions and circumstances of communication. According to E.S.Aznaurova the communicative-pragmatic situation can be presented by a chain questions: who – what – where – when – how – why – to whom (1988:38). The most relevant parameters of the communicative- pragmatic situation in the literary discourse are:

- circumstances and place of the communicative act;
- the subject and aim of communication;
- social, ethnic, individual, characteristics of the communicants;
- role and personal relations between the communicants.

In the process of discourse analysis the role of intentional factors as well as those of linguistic personality should be particularly emphasized.

7.2. THE FACTOR OF THE ADDRESSER AND ADDRESSEE

The addresser (author, sender, speaker) and the addressee (recipient, reader, listener) are the main constituents of discourse though explicitly they are not presented in the text. The addresser is a creator of the text, which reflects his views, attitudes, evaluation, world outlook. The addresser is realized in the text through the communicative aim,

and strives to make it recognizable for the addressee. Besides, he has an intention to exert a certain influence on the addressee.

In literary communication, viz. in fiction, the addresser is represented in the “author’s image”. As many scholars state, the author of the literary work expresses not only the object of cognition, but also his personality. Literary communication presupposes actualization of all spiritual and practical abilities of a personality, his life experience and sophistication. The notion of the “author’s image” was introduced by V.V. Vinogradov who claimed that the “author’s image” is a focus, which combines all the parts of the work into a unity. In the fictional text the author’s image may have an explicit expression, but more often it is implicit. There are many ways of expressing the author’s image, including the plot and composition. All the compositional forms of the author’s speech (description, narration, reasoning) with different degrees of explicitness present the author’s individual viewpoint. One of the powerful means of asserting the author’s position is a system of stylistically marked units employed in the text. Among them the role of imagery should be particularly emphasized. Indeed, image-bearing stylistic devices are used in the text to express evaluative, subjective attitude of the author towards the things described.

So, the factor of an addresser presupposes that cultural context including literary, social, political data should be involved in discourse analysis. Only under such circumstances can a satisfactory account of the text, and an adequate interpretation of the author’s intention be achieved.

No less important in discourse analysis is the factor of an addressee. It is the addressee who indirectly predetermines text construction, the choice of words and structures. To achieve understanding the addresser should take into account all the parameters of a potential addressee, his social and professional status, educational level, background knowledge and so on. Certainly, the information about the addressee is rather relative. There are texts oriented to a certain reader. For instance, literature for children or special texts. At the same time there are texts not intended for a concrete reader, such as newspaper articles,

brief news information, announcements and so on. In other words, texts of mass media communication. In contrast to such texts, literary communication might contain texts designed for an “intelligent reader”, who possesses enough background knowledge. Thus, the novel by J. Fowles “The French Lieutenant’s Woman” requires the reader’s cultural competence and a certain educational level since it contains lots of quotations, allusions, references, philosophical meditations.

It should be noted that the factor of the addresser/ addressee in literary discourse, unlike other types of discourse, is characterized by some peculiar features conditioned by the fact that there are two types of the addresser: “addresser – writer”, and “addresser – personage”, and the two types of the addressee: “addressee –reader” and “addressee –personage”. All this is indicative of a complex system of implicit relationships between the author and the reader, and a multifold communicative structure of literary discourse.

7.3. THE NOTION OF PRAGMATIC INTENTION. TYPES OF PRAGMATIC INTENTION

The pragmatic study of literary discourse is also concerned with the problems of impact and perception as the two sides of communication. Only taken together do they ensure an integral process of communication. Impact and perception are closely interrelated and interdependent as “two sides of the medal”. A crucial role in analyzing the effectiveness of impact and perception belongs to the notion of pragmatic intention. Pragmatic intention is understood as verbalized in the text the addresser’s deliberate intention to exert influence on the addressee with the aim to cause some reconstruction in his world picture (Haep, 1984:16).

The general pragmatic intention of literary discourse is an aesthetic influence on the reader. However, in concrete situations the types of pragmatic intentions vary, and so does their impact. The pragmatic intention is an organizing principle of the text. It predetermines the choice of language means, structural and semantic peculiarities of the text. Therefore pragmatic analysis aims to find language units which

explicitly or implicitly make pragmatic intentions recognizable. According to the type of pragmatic intentions the forms of its language utilization vary. The effectiveness of impact and perception also depends on the type of pragmatic intentions. In this respect differentiation of pragmatic intentions, hierarchical classification of their types seem to be of paramount importance.

Accepting the assumption that pragmatic intentions are materialized in the language units, we define the type of pragmatic intention proceeding from: a) the analysis of all the parameters of a verbal sign, the ways of its introduction, organization and reorganization in the discourse; b) verbalized in the discourse direct or indirect indication to a pragmatic intention; c) indication to the addressee's verbal and non-verbal reaction. The analysis of the language material makes it possible to define the main types of pragmatic intentions in the literary discourse. They are as follows:

- the pragmatic intention “to attract attention” (attention-compelling intention);
- the pragmatic intention “to interest the reader”;
- the pragmatic intention “to exert an emotional impact”;
- the pragmatic intention “to activate knowledge structures” relevant to the conceptual information;
- the pragmatic intention “to stimulate the addressee's creativity”;
- the pragmatic intention “to represent the conceptual world picture” (Ашырова, 1991).

The differentiation of these intentions is relative to some extent. Actually, language usage is characterized by a much more complicated, polyfunctional character, and it is conditioned not only by one, but by many interconnected pragmatic intentions. Practically not a single pragmatic intention is used separately. The above mentioned pragmatic intentions are enumerated in accordance with an increasing degree of their complexity and aesthetic value. That means that every pragmatic intention includes the subsequent ones in different combinations. The pragmatic intention aimed to represent the conceptual world picture is

ranked as the most global one. It embraces all other types of pragmatic intentions and to some extent coincides with the function of literary discourse to produce an aesthetic influence on the reader.

Emphasizing the fact of close relationships of these pragmatic intentions, we, nevertheless, adhere to the opinion that they should be discussed separately. There are some reasons for it. Firstly, the scientific approach to the problem requires a detailed and differential description of the discussed phenomenon. Secondly, there is a possibility to outline a dominant type of a pragmatic intention in a concrete communicative situation. Thirdly, it is explained by some psychological peculiarities of perception. According to some linguistic investigations, perception is an extensive process characterized by the hierarchy of different levels. Physiologically, it is explained by the fact that perception as a process goes through various sections of nervous system, and manifests itself in the gradual transition from a low sensory level to a high semantic level (Лурия, 1969:24). As regards text perception, the principle of hierarchy displays the gradual transition from the perception of the form, that is the language organization of the text, to the understanding of the semantic content and aesthetic value. Such complex and consecutive character of perception complies with a general line of cognition: from the simple to the complex, from the superficial to the deep.

It would be reasonable now to consider each of the above-mentioned pragmatic intentions and discuss those verbal signals which play a dominant role in their realization.

7.4. THE PRAGMATIC INTENTION “TO ATTRACT THE READER’S ATTENTION”(ATTENTION – COMPELLING INTENTION)

This pragmatic intention is associated with the phenomenon of actualization, which has been discussed by many scholars (Б. А. Ларин, Р. Якобсон, И. В. Арнольд и др.). The most detailed analysis was done by the Prague linguistic school. Actualization is understood as the usage of language means which is perceived as unusual, deautomatized, and therefore it attracts attention of the reader (Гавранек,

1967:355). There are some arguable points in the conception of the Prague linguists. In particular, the assertion that actualization is an end in itself seems to be very doubtful because it depreciates a priority role of a communicative aim. However, on the whole, the idea of “deautomatization”, the notions of foregrounding, convergence of stylistic means, parallelisms as basic signals of conceptual information remain actual and significant for the present-day researches, especially in considering the problem of impact and perception.

The means of “deautomatization” are mainly found on the surface layer of the text and characterized by various kinds of structural transformations, which serve to realize the pragmatic intention “to attract the readers’ attention”. To these means we can refer various occasional transformations of words (simple, derivative and compound words), phraseological units and syntactical structures. So, the main device to realize this pragmatic intention is an occasionalism built on deviations from the norms of the literary language. The problem of the norm has received much attention among linguists. There are a lot of disputes, differences of opinions, controversies. In stylistics it concerns the problem of stylistic devices. Some scholars regard stylistic devices as deviation from the literary norm (Риффатер, 1979), others consider that stylistic devices are based on the norm, intensify its typical structural and semantic properties, and promote them to a generalized level (Гальперин, 1981).

The idea of the norm deviation is shared by the majority of linguists. It can be accepted here with some amendments. Firstly, in every concrete case deviations are characterized by different degrees of explicitness. Secondly, deviations are subjected to some regulations. They, as I.V. Arnold stated, have certain restrictions (1976:61).

Any deliberate deviation from the norms attracts the addressee’s attention, and gives rise to some stylistic effects, thus influencing the process of perception. The following may serve as an example:

I wanted death after that but death don't come when you want it, it comes when you don't want! I wanted death then, but I took the next best thing. You sold yourself. I sold my self (Williams, 1972:257).

The statement excerpted from T. William's play "Orpheus descending" is characterized by a high degree of emotiveness created by the convergence of stylistic devices – repetitions, parallelisms, metaphor, irony. But the first thing to attract attention is an abnormal use of the compound pronoun (myself – my self). Decomposition of the compound word leads to the change of its accentual and intonational pattern. Each component of the decomposed word gets the status of an independent word. Consequently, these words become conspicuous, notable and attract the reader's attention.

It is necessary to note, in passing, that occasional transformations are mostly observed in word-formation. It can be explained by the fact that derivative and compound words, being constitutive and divisional by nature, are predisposed to various transformations: decomposition and rearrangement of the components, blending and clipping, the use of a morpheme as an independent word, violations in the morphemic word structure, repetitions of morphemes, etc. All these transformations lead the language units out of the scope of generally accepted, traditional forms, and that puts them in the forefront of the reader's attention. Of great interest are the texts where occasionalisms become key words, and are presented in the text by a series of correlated derivative units. Here is an example:

*I used to call her **Hippo**, because she was such a **hypocrite** and so **fat** (Huxley, p.163).*

This way the heroine of the story by Huxley characterized her aunt whom she disliked for her hypocrisy. Taken apart from the context the word "hippo" might have been understood as a clipping of the word "hippopotamus" because the latter is marked in the language system. But in this context containing the two words "hypocrite" and "fat", this shortening is understood in two meanings: dictionary "hippopotamus" and contextual "hypocrite". As a result, there appears a new perception of the word "hippo" as a "fat hypocrite". This the so called "double" nomination, creating the effect of a "defeated expectancy", attracts the reader's attention, and at the same time increases the pragmatic effectiveness of the statement. Moreover the analyzed

occasionalism generates a number of new derivatives which form a chain of correlated words: *hippo – hippoish – hippoishly – hippoism*:

*She couldn't abide my mother, though she was always sweetly **hippoish** with her (p.164);*

*And your mother, how did she respond? Well, not **hippoishly**, of course. She was just natural with the **Hippo** (p.164)*

In the context of this story all negative sides of people's character and behavior are embodied in the word **hippoism**:

*I shouldn't have thought him so piggish, which shows again what **hippo – ism** is (p.165).*

Accumulation of occasionalisms within the framework of the text does not only attract the reader's attention, but also putting them in the position of key words, charges them with the conceptual information that can be formulated as exposure of hypocrisy, narrow-mindedness, mendacity.

The pragmatic intention "to attract attention" is considered to be very important in the detective genre (Азнаурова, 1988). It is interesting to note that realization of this intention is observed at the level of factual information. In our opinion it can be explained by the fact that a detective text requires much attention to the minor and insignificant at first sight details of the plot. The basic signals of this intention are various kinds of descriptive details, specifications, characteristics verbalized in the text, but not directly related to the plot of the story.

The analyzed type of pragmatic intention is most relevant for advertising texts since the main strategic aim of this type of the text is to attract a consumer's attention. The following examples can serve as an illustration:

*Go by air. It's **plane** common sense.*

*To be or **NATO** be.*

*You can tell they're **tops** by their bottoms.*

*Tender chicken for **tough** times.*

***Sea** for yourself.*

7.5. THE PRAGMATIC INTENTION “TO INTEREST THE READER”

The pragmatic intention “to interest the reader” generated as a consequence of the previous one, is aimed to interest the reader, to make him think over the semantic content of the text, to exert an impact on his intellectual sphere. The significance of this intention is conditioned by the psychological peculiarities of the reader’s perception oriented to “interest” as one of the main categories of human life in general, and literary communication in particular. It is worth citing here the statement: “Если физический мир подчинен закону движения, то мир духовный не менее подчинен закону интереса. На земле есть всемогущий волшебник, изменяющий в глазах всех существ вид всякого предмета” (ФЕС, 1983:213). The phenomenon of “interest” is linguistically grounded in the work by G.G.Molchanova who brings it into correlation with the phenomenon of “the new”; the latter in its turn is characterized by violation of banality, triteness, monotony (Молчанова, 1988:22).

Nothing is so boring as something known and monotonous. It is necessary to keep in mind that in the fictional discourse “the new” is linked with subtextual and conceptual information rather than factual information presented by the plot of the text. Therefore various kinds of structural and stylistic transformations, contextual changes of lexical meanings, implicit meanings, connotations and associations are in the foreground. From the linguistic point of view “the new” is based on a peculiar usage of language units, the renewal of their both structural and semantic characteristics. Let’s turn to an example:

*For women are as roses
Whose fair flower being once displayed
Doth fall that very hour (W. Shakespeare).*

The utterance contains a traditional, trite image “**women - roses**”. Due to its frequent usage this image has become hackneyed. It doesn’t excite any interest on the part of the reader. The perception

of this image would not have been effective if it were not for its peculiar usage. In order to attract and interest the reader, the author resorts to “renewal” of this image. It is achieved by the following: a) the trite simile “*women are as roses*” is included into the structure of an extended metaphor containing several images: – *flower, display, fall*; b) violation of usual associative links of this image. The simile here is used not to emphasize women’s beauty, but to stress the fact that beauty does not last long; it passes lightly and instantly like a flash.

Hence, the “image renewal” deautomatizes its perception and changes the character of emotional impact. Positive emotions associated with the concept of BEAUTY are transformed into quite opposite negative emotions – sorrow, regret, sadness caused by beauty’s “momentary” life. Such new comprehension of the hackneyed image excites the reader’s interest and heightens the pragmatic effect.

7.6. THE PRAGMATIC INTENTION “TO EXERT AN EMOTIONAL IMPACT”

One of the specific peculiarities of literary discourse is its orientation to the addressee’s emotional sphere. Emotiveness is one of the most important components of literary communication (Шаховский, 1987). In this connection the pragmatic intention of “emotional impact” is one of the main, and, as a rule, constant factors determining stylistic functioning of language units in a fictional text. It should be noted that this pragmatic intention is usually combined with other intentions. For instance, the above discussed pragmatic intention “to interest the reader” is inseparable from the emotional impact since “interest” as one of the innate emotions of a man is valid only on condition of emotional excitement (Додонов, 1978). In this respect it is worthy of note that emotionally charged language units, owing to sensuality of human psychics are more effective means of impact than various devices of logic.

The pragmatic intention of emotional impact is realized by the whole system of stylistic devices used in the text. But the dominant

role belongs to a convergence of stylistic devices, that is the accumulation of many stylistic devices and expressive means of the language at a given point. It is accounted by the fact that emotions manifest themselves not separately; they come in a flow of words, one generating another (Изард,1980). The following quotation is illustrative in this respect:

Words! Mere words! How terrible they were! How clear, and vivid, and cruel! One could not escape from them. And yet what a subtle magic there was in them! They seemed to be able to give a plastic form to formless things, and to have music of their own as sweet as that of viol or of lute. Mere words! Was there anything so real as words? (O.Wilde “The picture of Dorian Grey”, p.100).

The perception of the multifold notion “word” here is determined by a set of language means which are complexly interwoven. The statement produces a strong emotional impact which is achieved by means of the convergence of stylistic devices and expressive means. Practically, all types of stylistic means are in action here: lexical stylistic devices – epithet, metaphor, personification; lexico-syntactical means – simile, antithesis; syntactical stylistic means – one member sentences, exclamatory sentences, parallel constructions, gradation, rhetorical question, anaphora, framing, and polysyndeton.

Particularly important here is the role of epithets which run through the entire extract forming a string of different attributes related to one and the same lexeme “word”. Such an abundance of epithets creates the effect of emotional gradation, and serves the purport of a comprehensive, emotional, evaluative characterization of the denotatum expressed by the lexeme “word”. The described notion is presented in a multitude of conceptual features both of positive and negative character: positive characteristics: *clear, vivid, magic, subtle, musical, sweet, real*; negative characteristics: *terrible, cruel*

We have discussed the pragmatic intentions which are directly related to text pragmatics. The other pragmatic intentions, viz. “to ac-

tivize knowledge structures”, “to stimulate the addressee’s creativity” and “to represent the conceptual world picture” require not only pragmatic but also cognitive-stylistic analysis. That will be done further in chapter VIII.

QUESTIONS AND TASKS FOR DISCUSSION

1. What does linguopragmatics study?
2. What aspects of linguopragmatics are most relevant for text linguistics?
3. Why does the term “discourse” appear to be most appropriate in discussing the pragmatic aspects of the text?
4. Formulate the notion of “communicative-pragmatic situation”.
5. Discuss the role of “the addresser’s” and “addressee’s” factors in the literary discourse.
6. Define the notion of a pragmatic intention.
7. What types of pragmatic intentions are distinguished?
8. How is the pragmatic intention “to attract the reader’s attention” realized in literary discourse?
9. Characterize the pragmatic intention “to interest the reader” and explain correlations between the categories of “interest” and “the new”.
10. In what ways is the pragmatic intention “to exert an emotional impact” realized in literary discourse?

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CHAPTER VIII. COGNITIVE THEORY OF TEXT

8.1. THE MAIN PRINCIPLES OF COGNITIVE LINGUISTICS

It is acknowledged now that a satisfactory account of text can only be arrived at by means of both the communicative and cognitive approaches. The communicative approach to the text without its cognitive ground is not adequate. This is conditioned by the transition of linguistics to an anthropocentric paradigm which associates language utilization with a cognitive activity of the man. We adhere to the conception by E.S. Kubryakova who claims that in describing any language phenomenon, its two functions – cognitive and communicative – should be taken into consideration. Consequently, an adequate explanation of language phenomena including text can be achieved only at the crossroad of cognition and communication (Кубрякова, 2004:11).

As is known cognitive linguistics is concerned with the study of the relationships between linguistic choices and mental processes, human experience and its results – knowledge. Cognitive linguistics regards language as a cognitive mechanism of representing, storing and transferring knowledge layers. Summing up some results in cognitive linguistics, we can outline a number of general principles which cognitive researches rest on:

- language is regarded as a mental phenomenon, as a cognitive mechanism;
- language is characterized by creative, imaginative capabilities;
- language is not only an external system of language forms, but also an internal system of knowledge representations;
- in cognitive linguistics attention is focused on relationships between language patterns and mental structures, the processes of conceptualization and categorization of the world information and its language manifestation, knowledge structures and their verbal representation;

These principles account for obvious links between cognitive linguistics and text linguistics due to the fact that text is a main source of

representing information about the world. As some scholars point out, there are no texts which do not reflect and fix some fragments of human experience and its understanding (Кубрякова, 2001). Indeed, the main aim of textual communication is an exchange of information which in terms of the theory of information is understood as receiving new data about objects, phenomena, relations and events of objective reality. Text as a communicative unit fulfills, as G.V. Kolshanskiy claims, cognitive, psychological and social functions of communication (1984).

8.2. COGNITIVE PRINCIPLES OF DISTRIBUTING INFORMATION IN THE TEXT

The main constituent category of the text, as has been already mentioned, is its informativity. Information is understood as knowledge represented and transferred by language forms in the process of communication (КСКТ, 1996). Of great importance is differentiation of various types of information. We have already discussed three types of information: factual, subtextual and conceptual (4.2). Besides, information can be subdivided into cognitive and contextual (Dijk, 1989). Cognitive information consists of knowledge, convictions, opinions, views, positions. Contextual information presents speech acts, situations, communication. Particularly important for the cognitive approach to the text are the types of information which are called old (given, known) and new (unknown) (Prince, 1981). The peculiarities of these types will be discussed further. Here it needs to be stressed that new information can be perceived only against the background of old information. And that can be explained psychologically by limitations of human memory capable to focus attention only on a certain amount of information (Chafe, 1987).

So, the character of information, and its organization in the text play a significant role in text production and perception. There are several cognitive principles of distributing information in the text: the principles of iconicity, of distributing old and new information, relevance and foregrounding. The principle of iconicity requires some kind of

conformity between the world perception and its language representation in the text. For instance, a consecutive order of sentences in the text on the whole is supposed to conform to a chronological order of events in reality (“he came, he saw, he conquered”). So, iconicity as a cognitive principle requires the description of events in the text in the same order as that in reality. It concerns not only chronological, but also spatial, causative, socially – conditioned regularities of the text elements reflecting the development of events in reality.

However, in the work of fiction the principle of iconicity is often violated. First of all it concerns the category of time in fiction characterized by a great variety of forms built on various oppositions. Time in the work of fiction or the so called “artistic time” can be: real – unreal, realistic – fantastic, ordinary – mystic, reversible – irreversible, dynamic – static, simultaneous – successive, short – long, fast – slow, ancient – modern.

There are various language means of expressing time in the literary text:

- a system of tenses;
- lexical means (once upon a time, in my youth, recently...etc);
- stylistic means (allusion, antonomasia including reference to some well known event or name associated with the past);
- composition of the text.

The category of time is closely connected with the categories of propection and retrospection. Propection – when events are given in a progressive order and the sequence of tenses is strictly observed. Retrospection – when the sequence of events is violated, and the reader first gets acquainted with the events which happened earlier (flash -back) or later (flash - forward).

Another cognitive principle of text construction is connected with the differentiation of old (given, known) and new (unknown) information. The incorporation of new information into that already known is a basis of text production and perception. Consequently, a certain balance between old information presenting the theme of the text, and new information as a rhematic material should be observed. Old infor-

mation can be given in the preceding fragment of the text, belong to the fund of common knowledge of the addresser and addressee; it can enter into a person's thesaurus. The process of introducing new information into the text and integrating it with old information ensures understanding.

It should be underlined again that new information in the fictional text is not necessarily connected with new facts. More often new information is conditioned by some unusual transformations of language means. Indicative, in this respect, are the language forms built on various kinds of violations, transformations and modifications. For example, occasionalisms:

*And there, straight away, was Hudson Taylor who matched like a glove. But it seemed too easy... because he didn't look right. Probably a **moneyholic**. Moneyholic. A word I've just made up to describe someone with an uncontrollable addiction to money. The word is full of drinkers, but alcoholics are obsessive. Moneyholics are obsessive. They never have enough. They cannot have enough. Money, money, money. Like drug. Moneyholics will do anything to get it. Moneyholism is a widespread disease (Francis D. In the frame. P.135).*

The new words “**moneyholic**”, “**moneyholism**” built on the principle of analogy, are characterized by both expressive and informative tensity. This analogy strengthened by a deliberate clash of the two words *alcoholic* – *moneyholic*, give rise to many associations which serve as a platform for the old information contained in the word “*alcoholic*”, to promote a new notion expressed by the occasionalisms “*moneyholic*”.

Another no less important cognitive principle of distributing information in the text is the principle of relevance (salience). According to this principle the most relevant and substantial information is somehow marked out on the verbal layer of the text. In conformity with Grice's maxim of relevance (speak to the point) the choice of language forms depends on what is considered essential by the addresser. In the domain of text linguistics this principle seems to be of

a vital import because any text is built on the relationships of more or less conspicuous parts. In terms of cognitive linguistics text information is placed in the positions of foregrounding or backgrounding, figure or ground (Langacre, 1987).

The main role in text production in accordance with this principle belongs to the addresser. It is the addresser who specifies the most relevant information, and composes text strategies in order to orientate the reader in text perception. In this respect the significance of foregrounding as a cognitive procedure of selecting the most relevant information should be particularly stressed.

8.3. FOREGROUNDING AND ITS TYPES

The notion of foregrounding was first described in the works by Russian Formal School (Б.А. Ларин, Р. Якобсон) and Prague linguistic circle (Б. Гавранек, Я. Мукаржовский) as a special device of constructing poetic texts. Now this notion is widely used in cognitive linguistics and text linguistics. Foregrounding, attracting attention to certain parts of the text and activizing certain frames, makes the search for information much easier. Foregrounding stands out as a stimulus or a “key” in the language processing of information. At present cognitive researches focus attention on the psychological aspects of foregrounding. From this point of view foregrounding is associated with unexpectedness, surprise, and heightened attention. It marks out the most essential, relevant fragments of the text, thus guiding its interpretation.

In fictional texts the principle of foregrounding is assigned a predominant role. Foregrounding here is charged with many functions. Putting forward some fragments of the text, foregrounding, on the one hand, segmentates the text into more or less important parts, on the other – establishes hierarchy of these parts, thus promoting coherence and integrity of the text. Besides, foregrounding directs text interpretation, and activizes not only knowledge structures, but also intentions, attitudes, emotions.

I.V. Arnold discussing the linguistic mechanism of foregrounding in a fictional text, outlines the following types of foregrounding: convergence, coupling, and defeated expectancy. Let's briefly consider each of them.

Convergence as was noted is an accumulation of many stylistic devices and expressive means of the language within one fragment of the text. Stylistic means brought together enforce both logical and emotive emphasis of one another, thus intensifying the importance of the whole utterance. It leads to concentration of the reader's attention on this part of the text, and this is the effect sought. The notion of convergence was introduced by M. Riffaterre who considered convergence to be an important criterion of the stylistic relevance of language units in fictional texts. The following example, which has become classical, may serve as an illustration:

And heaved and heaved, still unrestingly heaved the black sea, as if its tides were a conscience (Melville, Moby Dick. Ch.51).

The convergence is created here by a great number of stylistically marked units: a) inversion (the predicate is put in the first place); b) repetition including polysyndeton (and...and); c) occasionalisms (unrestingly); d) simile which contains unusual interaction of the concrete (tides) and the abstract (conscience); e) epithet (vast); f) rhythmical arrangement of the utterance strengthened by the use of alliteration.

Another type of foregrounding is coupling, by which the recurrence of the same elements in the same positions is understood. This notion was introduced by S. Levin, and applied to poetry. Coupling is created by all types of repetition, parallel structures, synonyms, antonyms, words belonging to one and the same semantic field. Coupling can be expressed in different in length fragments of the text by means of language units of all language levels. An interesting example of coupling is the use of word-family containing a great number of derivatives. This type of foregrounding is one of the effective means of expressing the main topic of the text. A typical specimen is presented in "The book of snobs" by Thackeray. Here the writer by means of satirical generaliza-

tion reveals, specifies and intensifies the notion expressed by the word **snob**. Suffice it to say that more than fifteen words belonging to one word-family, are used here: *snob – snobbish – snobbishness – snobbery – snobocracy, snob-department, snobland, snobographer – snobore, snobley, snobely, snobky, army- snobs, snobling, snobbington*. In this long chain of correlated words we can observe various types of relations: inclusion, crossing, generalization and specification. Nominating the key points of the semantic content, these words stand out as the markers of the main idea which can be formulated as a satirical life panorama of the British bourgeois society (Ашурова, 1991).

The next type of foregrounding is the so called “defeated expectancy”. Many scholars explain the effect of defeated expectancy by a low predictability of the elements encoded in a verbal chain (Риффатер, 1959, Якобсон, 1960, Арнольд, 1990). An unpredictable element violates usual stereotypes and norms creating some difficulties of perception. The pragmatic effect of defeated expectancy is materialized by means of many language units, among them:

- lexical means: rare words, archaisms, borrowings, occasionalisms, words in an unusual syntactical function;
- stylistic means: zeugma, oxymoron, irony, periphrasis, enumeration, pun, parody, paradox;
- phraseological means: various transformations and changes of both lexical constituents and compositional structures.

In the following example the effect of defeated expectancy is caused by the violation of logical succession in enumeration:

*Talk all you like about automatic ovens and electronic dishwashers, there is nothing you can have around the house as useful **as a husband** (Ph.McGinley. Sixpence in her shoe).*

As is seen from this example the appearance of the word “husband” in the line with such words as “*automatic ovens*” and “*electronic dishwashers*” seems quite unexpected and illogical. Thanks to it the word “husband” being foregrounded, is ascribed emphasis and ironical effect.

It is necessary to stress that a variety of the types of foregrounding is not covered by those mentioned above. Undoubtedly, one of the main means of foregrounding is to place language forms in “strong positions” of the text. Such are the beginning and the ending of the text. The importance of these positions are psychologically grounded inasmuch as they are, as it has been experimentally proved, most inclusive to the mechanisms of human memory.

The initial position in fictional texts are occupied by a title, epigraph, the first paragraphs (initial collision). We have already discussed the conceptual value of the title. Here we shall dwell on the role of an epigraph as one of the means of foregrounding. The epigraph along with the title in a condensed form expresses the concept of a literary text. And this is its textual status. At the same time some autonomy of the epigraph, its autosemantic and intertextual character are observed. It is a “text” within the whole text. It has its own author and initial communicative situation. Illustrative in this respect is the epigraph taken from E.Hemingway’s novel “For Whom the Bell Tolls”. The whole poem by John Donne is used as an epigraph here:

*No man is a island, intire of it selfe;
Every man is a piece of the
Continent, a part of the maine; if
Cloud be washed away by the **Sea**
Europe is the lesse, as well as if a
Promontorie were, as well as if a
Manner of thy friends or of thine
owne were; any mans **death**
diminishes **me**, because I am
involved in Mankinde; And
therefore never send to know for
Whom the **bell** toll; it tolls for **thee***

Donne’s poem about people’s responsibilities, about an exceptional value of human life conforms to Hemingway’s ideas about the necessity “to save the world”, and the role of a personality in the common strug-

gle for freedom and justice. The relationship between the epigraph and the whole text of the novel is manifested both in the title and in separate fragments: “*But remember, this that as long as we can hold them here we keep the fascists tied up. They can't attack any other country until they finish with us and they can never finish with us*” (p.162). So, the epigraph here fulfills a pre-textual function guiding the reader's perception.

No less significant in terms of foregrounding is the end of the text. First of all the end realizes the category of completeness, and consequently, the category of integrity. But the completeness of the text, as many scholars state, is to some extent a relative notion (Гальперин, 1982, Кухаренко, 1988). There are texts with “closed” and “open” endings. From the point of view of text pragmatics “open” endings assume a pragmatic intention oriented towards “co - authorship” involving the reader in the cognitive process of creative thinking, analysis and interpretation on the basis of his knowledge background and life experience. An open ending raises many questions and sometimes contains questions in itself, for example, in G. Green's “The basement room” – “*Who is she? Who is he?*”

According to the length there are long and short endings. A short ending expressed by two – three sentences or the personage's remark, closely relates with the content of the whole text, and therefore is not semantically independent. As for a long and extended ending, it contains some conclusion, the author's viewpoint, interpretation of the concept and its correlation with the title. A classical example of that is the end of O. Henry's story “The Gift of the Magi”:

The magi as you know – were wise men – wonderfully wise men – who brought gifts to the Babe in the manger. They invented the art of giving Christmas presents. Being wise, their presents were no doubt wise ones, possibly bearing the privilege of exchange in case of duplication. And here I have lamely related to you the uneventful chronicle of two foolish children in a flat who most unwisely sacrificed for each other the greatest treasures of their house. But in a last word to the wise of these days let it be said that of all who give gifts these two

were the wisest. Of all who give and receive gifts, such as they are wisest. Everywhere they are wisest. They are the magi (p.36).

Completing the text, this fragment actually presents the author's digression which correlating with the title, expresses the main concept of the story: true love is equalled to the wisdom of the magi.

The cognitive essence of the text is also confirmed by the fact that any text is intended to be understood and interpreted. In other words, it presupposes the cognitive activity aimed at revealing the semantic content of the text. The processes of perception, understanding and interpretation depend on complicated cognitive mechanisms based on interaction of many factors which in their turn are studied by a number of disciplines: linguistics, psychology, philosophy, sociology, theory of literature, aesthetics and others. However, the term "perception" including understanding and interpretation, is regarded as a cognitive phenomenon pertaining to the processes of the world cognition. So, in cognitive linguistics perception is understood as a cognitive activity dealing with the cognitive processing of text information. The conceptual structure of the text is based on the process of perception. From all this it follows that perception is related to the processes of conceptualization and categorization of the world reflected in the text.

The notion of conceptualization being a key notion in cognitive linguistics has become basic in text linguistics too. On the ground of text materials and background knowledge the addressee makes his own suppositions, inferences and conclusions. All this constitutes the processes of conceptualization as one of the main processes of human cognitive activity.

The process of categorization is also refined to one of the forms of cognitive activity. Categorization can be defined as a process of taxonomic activity, regulated presentation of various phenomena classified according to their essential, categorical characteristics (KCKT, 1996). As regards the text, categorization makes it possible to generalize the excerpted from the text separate facts and combine them into certain conceptual systems. So, categorization tends to shape concepts and conceptospheres grouping them into the continuum of the text.

8.4. FRAME ANALYSIS

In the process of perception a significant role is assigned to special language forms with the help of which knowledge structures are presented, and which are called frames (Минский, 1979). There are also such terms as scheme, scenarios, scripts, plans and others (Виноград, 1983). Despite some differences, all these terms designate the idea that knowledge is not a sum of separate facts, but a complex hierarchical system, a cognitive model of presenting information. The study of the relationships between language structures and their mental models is called frame analysis.

Frame analysis applied to the text can be presented as a step-by-step procedure including:

1. searching for the verbal signals representing conceptually important frames;
2. decoding their frame semantics, associative, figurative, contextual links;
3. activizing knowledge structures (world knowledge), contextual and propositional functions (language knowledge);
4. conceptualizing textual information (generalizing, making conclusions, inferring knowledge on the basis of verbal signals and their frames).

All the stages of analysis contribute to the cognitive text interpretation. In the process of frame analysis the missing implicit components and their links can be restored; implications and inferences can be drawn. Most interesting is the fact that frame structures can be deliberately used in the work of fiction. The story from L. Huges book “I, too, am American” is illustrative in this respect. Before we proceed with text interpretation it is worth reminding that the analyzed text has a dialogic structure, and relates imaginary talks between the author and one of the personages I. Simple, a young American Negro. The focus of attention in this story is race discrimination. This problem is viewed via the analysis of the meaning of the word “**black**”. In fact this analysis might be called frame interpretation. Discussing the

word “*black*” and its negative connotations, the addresser, whose part is by turns taken either by the author or Simple, reveals the language structures and encyclopedic knowledge which give a clue to understanding.

The meaning of this word correlates with life situations kept in the addresser’s memory, and verbalized in the text by means of many language units: *black-ball, black-list, black-mail, black-heart, black-market, black mark, black cat, black magic, black sheep*. These words clearly demonstrate negative connotations of the word “**black**” caused by certain propositions and frames. For example, the set expression “*black cat*” is associated with the notion of “bad luck” because a black cat crossing your road is considered a bad sign in many cultures. The compound “*black-mail*” presupposes the idea of enforcement and threat. The number of expressions with the component “*black*” might be easily increased. Though they are not used in this text, they are fixed in the language system in their negative meanings: *black-browed, to blacken, black-guard, black-leg, black shirt, black wash, black market*. On the basis of his language knowledge and life experience, Simple convincingly explains the sources of negative connotations of the word “**black**” which in his opinion have been unjustly transferred to the field of human relations. To prove his view he brings forward other examples which give rise to quite opposite – positive connotations:

The earth is black and all kinds of things come out of earth;

Coal is black and it warms your house and cooks food;

The night is black, which has a moon, and a million stars, and is beautiful;

Sleep is black which gives you rest, so you wake up felling good.

This text is interesting in many respects. Firstly, it explains the mechanisms of production and perception, and shows the dependence of the word perception on its frame representation. The word “**black**” here is the basis for various cognitive operations, and according to its frame interpretation it can change its meaning from negative into positive. Secondly, it illustrates the mechanisms of relating linguistic

forms to cognitive structures and processes. Finally, this text provides evidence to the role of frame analysis in conveying conceptual information.

From all this it follows that the processes of understanding and interpretation are not confined to the surface textual structures; they require cognitive processing based on interaction of textual features and their mental representations. Understanding, as some scholars claim, presupposes not only interpretation of the fact, but also “activation” of knowledge structures and inference of cognitive information (Дейк, Кинч, 1988:158).

8.5. THE PRAGMATIC INTENTION “TO ACTIVIZE KNOWLEDGE STRUCTURES”

The term “activation, activization” is a key term both for cognitive linguistics and theory of text interpretation. “Activization” is understood as stimulation of certain parts of the brain in the process of speech activity under the influence of verbal signals aimed to represent certain knowledge structures (КСКТ, 1996). Proceeding from this notion, we can suppose that in a fictional text some language units are used with a deliberate aim to activize the knowledge structures relevant for the conceptual information of the text. The process of activizing knowledge structures in the text can be described this way: under the impact of some verbal signals a certain contour scheme (frame) is activized, but many slots of this frame are not filled yet; they are implicit. Explication of these slots is achieved by the study of frame associations, contextual links, encyclopedic knowledge of a verbal signal – stimulus. So, from the linguistic and methodological points of view it is of paramount importance to find in the text verbal signals, key words, signs, which promote the activation of knowledge structures as means for reaching interpretative goals. In this respect the role of antroponims which function in fiction as a stylistic device called antonomasia should be particularly singled out.

Traditionally antonomasia has been explained in terms of stylistic devices based on the use of proper names. There are two types of

antonomasia: 1) proper nouns are used in the notional meaning; 2) notional lexemes acquire the status of proper nouns. From the position of cognitive linguistics antonomasia is regarded as an associative-stereotyped image aimed to activize knowledge structures of literary, mythological, encyclopedic character. The cognitive mechanism of this stylistic device, as G.G. Molchanova states, is based on the cognitive operation, which is called conceptual integration (blended spaces, blended viewpoints). It means blending two concepts in one word substituting long descriptions (2007:51). Here is an example of antonomasia used by the Hollywood star to characterize her husband:

He was a playboy and a Casanova, a Don Juan and a charmer – a man whom other men longed to emulate and every woman longed to love... When Ruby became jealous, he was transformed from aristocratic charmer to something akin to Jack the Ripper (cit. from Молчанова, 2007:52).

The pragmatic intention of the antonomasias used here is to call forth a flow of associations, to activize links between “old” and “new” information, and on this basis to characterize a person and his behaviour. So, activation of knowledge structures inherent in antonomasia is a necessary prerequisite of its utilization in the text. In the above example literary knowledge (*Casanova, Don Juan*) and life knowledge (*Jack the Ripper*) are activated. For example, the analysis of the frame “**Don Juan**”, its literary knowledge structure, associative and contextual links makes it possible to figure out the following conceptual features: *flirtatious, amorous, passionate, desiring, erotic, gallant, sentimental, jealous, ardent, sweet, charmed, crazy about, ecstatic, rapturous, amatory, etc.*

We have discussed the pragmatic intention “to activize knowledge structures” on the material of antonomasia. However, antonomasia is only one of the means to realize this pragmatic intention. There are undoubtedly many other language units capable of representing frames and activizing knowledge structures in the text. Among them are key words, repetitions, metaphors, allusions, symbols, euphemisms and others.

8.6. THE PRAGMATIC INTENTION ON “CO-AUTHORSHIP”

The perception of a fictional text is a process of comprehending the author's world via “the text world” and “personal world” (Белянин, 1988:18). This assumption underlines a creative, constructive character of perception, the idea of the addressee's counter-search for the text concept on the basis of verbal signals. This idea was asserted in linguistics due to the works by A.A. Potebnya, Z.V. Scherba, M.M. Bakhtin, V.V. Vinogradov. The author of a fictional text presupposing the reader's ability for creative thinking, deliberately involves him in his creative activity. In other words, one of the main pragmatic intentions of a fictional text is the so called “co-authorship”, Indeed, the reader really “enjoys reading” when something is disclosed to him as a “miracle”, when he decodes senses that were encoded by the author (Герасимов, 1969:134).

The realization of the pragmatic intention in question is ensured by such features of the text as implicitness, ambiguity, associativeness. We have already discussed these categories in connection with the peculiarities of the belles-lettres text. Here it is necessary to stress that implicitness and affiliated to it ambiguity and associativeness are created in the text intentionally as a communicative aim, and in this case, a linguo-cognitive competence on the part of the reader is required (Молчанова, 1988). It explains the importance of studying implicitness in the fictional text.

The story by J. Salinger “A Perfect Day for Bananafish”, which has often been claimed to be highly ambiguous, may be taken as an illustration. Interpretation of the story, as has been pointed out by literary critics, causes some difficulties. The factual information of the story which consists of two scenes and the epilogue is very simple. The first scene – is a talk on the phone between a young woman, who is taking a rest in Florida with her husband, and her mother. From this conversation we learn that her mother is very much worried because she considers her son-in-law to be out of his senses. The second scene takes place on the beach where the young woman's husband talks to a little girl, and tells

her a fairy-tale about bananafish which swam into a banana cave, ate too many bananas, got ill with banana fever and died of overeating. The epilogue of the story is quite unexpected: the young man returns to the hotel room and commits suicide. What are the psychological motives of his suicide? At first sight it seems that the reason lies in his insanity, inasmuch as some details indicate it: the doctor's opinion, odd behaviour. Besides, the word "bananafish" correlates with the phraseological units "to go bananas", "to get bananas" which mean "to go mad". But in the verbal system of the text there are some signals which indicate another implicit sense. One of such signals is the word "*bananafish*" used in the title of the story, and decomposed in one of the text episodes: *bananafish* – *bananas* – *banana cave* – *banana hole* – *banana fever*. This is a stylistic device based on decomposition of a compound word. The word "bananafish" means "a sort of small fish", and has nothing to do with the meaning of the word "banana". Decomposition of the compound word results in the revival of the initial meaning of the word "banana" (fruit) and its connotations. All this makes the reader think over the implicit meaning of these words and the whole story. Certainly, it is possible only if the reader has some background knowledge about J. Salinger and his works, about the influence of Hinduism on his writing. In our opinion an adequate reading of this text can be arrived at by taking into account the cognitive interpretation of the associative potential of the word "banana". In the traditional view of the Hindu "*banana-tree*" is a symbol of love. There is a folk tradition: women throw banana leaves with flowers on them into the river and watch them floating down. The leaf turned over betokens an unhappy love. In general, in Hinduism the feeling of love is associated with sufferings rather than positive emotions. Similarly, love for the young man of this story is unhappiness; he is not able to bear the torture of living with a woman who comes from an absolutely alien to him society. This view seems to be well-grounded because it is based on the verbal signals of the text: the title, the story about bananafish.

So, the analyzed story demonstrates the significance of the reader's competence and his ability for creative thinking. Fictional texts, cha-

racterized by imagery, call forth a flow of associations and thoughts in the addresser's consciousness, and that helps him disclose the implicit semantic content and the author's purport. That is how the co-authorship of the author and the reader is realized in the process of text perception.

8.7. THE PRAGMATIC INTENTION "TO REPRESENT THE CONCEPTUAL WORLD PICTURE"

The study of the human factor in language with regards to text production and text perception puts forward the task of considering relationships between conceptual and language world pictures. The notions of conceptual and language world picture appear to be very important for text linguistics in general, and interpretation of a literary text in particular. Conceptual world picture is understood as a global image of the world and its essential features reflected in individual's mind as a result of his spiritual activity. Language world picture is explicated with the help of various language means, systematically organized and socially important model of the conceptual world picture. It is a means of transferring information about the world, people, relations (Роль человеческого фактора, 1988).

It should be noted that all language means are involved in the world picture representation. However, the role of some verbal expressions denoting key notions needs to be emphasized. With regard to the conceptual world picture, it is very important whether the text is oriented to the material objects or spiritual life world, the latter, in this sense, presents much more interest. Fictional texts, as is known, with their aesthetic, emotional and evaluative functions aim to create an imaginary world reflecting the spiritual human life. In this respect the verbal expressions nominating the objects of spiritual world, ideal entities assume a priority role. According to A.A. Uphimtseva, in every language there is a special group of words called "nominal". Nominal words do not denote any physical, biological or any other substantial entity; they are conditioned by social reality, world outlook, the norms of human ethics and aesthetics (Уфимцева, 1977:132).

Lexicon plays an important role in realization of the pragmatic intention in question. The story by E. Poe “The Manuscript Found in the Bottle” is a convincing evidence to it. The plot of the story is a fantastic narrative about the sea storm and shipwreck, the appearance of an enormous vessel and removal to “the other world”. The conceptual information inferred from the verbal structure of the text can be described as a psychological state of a man at the moment of a disaster, the feelings of horror and exaltation, the fear of death and admiration for eternity. The pragmatic intention of this text is to exert an emotional impact on the reader and represent an individual author’s conceptual world picture. This story, as well as many others by E. Poe, reflects the author’s world picture – tragedy, sufferings, fatality of human life. This pragmatic intention defines all the parameters of the text and the choice of words.

Let’s turn to the analysis of the text. The first thing to attract attention here is a high concentration of abstract nouns denoting non-material objects, and belonging to the nominal group of words. The use of these lexemes creates a particular nominative space of the text expressing the concepts of inner spiritual world (*sensation, admiration, hopelessness, futurity, amazement*).

Another group of words is presented by adjectives and adverbs (*awful, terrific, frightful, terrible, bitterly, hopeless, gloomily, overwhelmed, thrilling, peevish, etc*). Adjectives and adverbs in their majority refer to the emotive and evaluative lexicon, the role of which in representing conceptual world picture cannot be overestimated. The semantic analysis of the lexicon employed in this text made it possible to distinguish the following groups:

a) description of nature: *wilderness, fiery, thundering, weather beaten, roaring*;

b) inner psychological state: *confusion, madness, uneasiness, eagerness, sublimity*;

c) feelings and emotions: *admiration, amazement, sensation, peevishness, gloomy, hopeless, etc*.

d) the last group appeared to be the most numerous. Here the words expressing the feeling of horror, fear and anxiety prevail (*awful, terrible, fearful, horrible, and frightful*).

No less significant here are the word-building links based on the mechanisms of analogy and correlation. Root repetition forms the correlative chains which mark conceptually important notions, and put forward the key words of the text: *terror – terrible – terribly; horror – horrible, hope – hopeless, death – dead, mad – madness – madly; unnatural – supernatural, eternity – eternal, curious – overcurious*. These words stress and emotionally emphasize the atmosphere of horror, ominous and mystic situation depicted in the text. The same function is fulfilled by the repetition of negative affixes characterized by a high stylistic potential: *inevitable, irresistible, unfathomable, unabated, ungovernable, unwilling, unfit, unnatural, thoughtless, ineffable, indefinite, inadequate, incomprehensible, ineffective, irrepressible*.

Due to such an abundance of derivatives charged with emotive meanings, the emotional tension of the text reaches its highest point. Besides, the words linked by the homogeneity of their word-building meanings are perceived here not as separate units, but as the components of larger groupings such as lexico-semantic groups and lexico-semantic fields. And this is a very important factor because the conceptual world picture is created not on the basis of single words, but as a result of their cognitive categorization verbally expressed in the text.

So, the cognitive approach to the text reveals its complicated cognitive structure, and shows that the processes of text production and perception are based on the cognitive principles. And that accounts for the necessity of applying some principles and methods of cognitive linguistics to text linguistics.

QUESTIONS FOR DISCUSSION

1. What are the main principles of cognitive linguistics?
2. What cognitive principles of distributing information in the text do you know?
3. How do you understand the principle of “iconicity”?
4. How can the new information be introduced into a fictional text?

5. What is foregrounding?
6. What types of foregrounding are distinguished?
7. What is the role of convergence in the fictional text?
8. What stages does frame analysis consists of ?
9. How is the pragmatic intention “to activize knowledge structures” utilized in the text?
10. How do you understand the pragmatic intention on “co-authorship”?
11. How can the implicit information of the text be decoded?
12. How is the pragmatic intention “to represent the conceptual world picture” realized in the text?
13. What is the role of lexicon in the world picture representation?

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CHAPTER IX. LINGUOCULTURAL ASPECT OF TEXT THEORY

9.1. LINGUOCULTUROLOGY AND ITS MAIN NOTIONS

It is acknowledged that efficient communication is impossible “without deep and wide background knowledge of native speakers’ culture which implies ways of life, mentality, vision of the world, the national character, customs, beliefs, systems of values, kinds of social behaviour” (Ter-Minasova, 1995).

The main postulates of this section are: a) there are close relationships between language and culture; b) text is a means of studying culture, it is the main source of cultural knowledge and information (Ольшанский, 2000; Маслова, 2007). In the process of text production the choice of language forms and patterns is dictated, first of all, by the author’s sociocultural intentions. So, the aim of this section is to study various forms of culture manifestations in the text.

The shared features between text and culture are as follows: a) both text and culture contain objective and subjective, logical and emotional elements; b) both text and culture are meant to be interpreted. The above said testifies to the fact that there are close links between text linguistics and linguoculturology. Linguoculturology, as is well known, is a complex scientific discipline of the anthropocentric paradigm which studies the correlations of culture and language (Ольшанский, 2000).

Linguoculturology is a rapidly expanding field at the interface between linguistics, cultural studies, ethnolinguistics and sociolinguistics. However, it has its own integral aspect of studying language and culture. Linguoculturology deals with the “deep level” of semantics, and brings into correlation linguistic meanings and the concepts of universal and national cultures. The aim of linguoculturology is to study linguistic means with the help of which language embodies, stores and transfers culture (Маслова, 2007).

Despite the fact that linguoculturology is a new trend in linguistics, there are different approaches and aspects: phraseological

(Телия, 1999), conceptological (Вежбицкая, 1966), lexicographical (Степанов, 1997), and linguodidactical (Верецагин, Костомаров, 1983). Along with these trends there is the so called “text-oriented” one which regards text as an important unit of culture.

We fully support the view that texts are directly related to culture and penetrated by a multitude of cultural codes. They accumulate and store information about history, ethnography, national psychology, etc., and pass it on from generation to generation (Маслова, 2007). From this standpoint text analysis is aimed to disclose cultural information, to study the peculiar features of national mentality, to define culture relevant language means used in the text.

Relationships between language and culture are most clearly seen in fictional texts. It is accounted for by the fact that a fictional text by its very nature is one of the forms of culture. It is a fictional text that first and foremost transmits sociocultural, aesthetic, emotional and evaluative information. It should be noted that cultural information encoded in the text is of a gradual character because different texts are characterized by different degrees of culture-relevant information. Most interesting are the texts reflecting intellectual, spiritual spheres of human life. In this respect nationally specific texts, where objective characteristics of reality are interlaced with national views and personal appraisals are of special attention. Interpretation of such texts requires linguocultural competence, that is the knowledge of national cultural values and priorities. The following passage from Galsworthy’s “To Let” is illustrative in this respect:

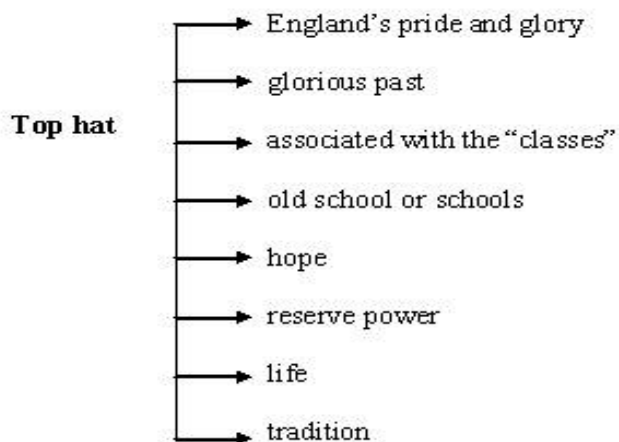
On the day of the cancelled meeting at the National Gallery, began the second anniversary of the resurrection of England’s pride and glory—or, more shortly, the top hat. “Lord’s”—that festival which the war had driven from the field—raised its light and dark blue flags for the second time, displaying almost every feature of a glorious past. Here, in the luncheon interval, were all species of female and one species of male hat, protecting the multiple types of face associated with “the classes” The observing Forsyte might discern in the free or uncon-

sidered seats a certain number of the squash-hatted, but they hardly ventured on the grass; the old school – or schools – could still rejoice that the proletariat was not yet paying the necessary half-crown. Here was still a close borough, the only one left on a large scale – for the papers were about to estimate the attendance at ten thousand. And the ten thousand, all animated by one hope, were asking each other one question: “Where are you lunching?” Something wonderfully uplifting and reassuring in that query and the sight of so many people like themselves voicing it! What reserve power in the British realm – enough pigeons, lobsters, lamb, salmon mayonnaise, strawberries, and bottles of champagne, to feed the lot! No miracle in prospect – no case of seven loaves and a few fishes – faith rested on surer foundations. Six thousand top hats, four thousand parasols would be doffed and furled, ten thousand mouths all speaking the same English would be filled. There was life in the old dog yet! Tradition! And again Tradition! How strong and how elastic! Wars might rage, taxation prey, Trades Unions take toll, and Europe perish of starvation; but the ten thousand would be fed; and, within their ring fence, stroll upon green turf, wear their top hats, and meet – themselves. The heart was sound, the pulse still regular. E-ton! E-ton! Har-r-o-o-w!

The text presents the situation describing the national vision of the English reality at the border-line of the XIX-XX centuries. The described event is a visit to a famous stadium in London for playing cricket, a popular national game. The detailed description of the event discloses the life of the bourgeois society which despite the forthcoming crisis does not give up their positions and tenaciously clings to the former way of life. One of the foundations of their life is adherence to traditions (*Tradition! And again tradition!*). In this case it is an annual presence at the traditional cricket match. It is not by chance, therefore, that every detail of this descriptive context acquires a symbolic meaning. It is seen in the name and description of the stadium (*Lord’s ... raised its light and dark-blue flags*), traditional lunch with a detailed enumeration of meals (*pigeons, lobsters, lamb, salmon, strawberries, champagne*), clothes

(*top hat, parasols, squash-hatted*) and mode of behaviour (*stroll upon green turf, wear their top hats and meet – themselves*).

The key word of this text is the lexical unit “**top hat**” (цилиндр), which in this context assumes a variety of conceptual meanings inferred from the text on the basis of the following propositions:



So “**top hat**” becomes a symbol of the passing out but remaining still mighty bourgeois class, its hopes, former glory, power and stability. Conceptually important here is the word “top” which, being neutral in its dictionary meaning, focuses on the conceptual features of this symbol. Using the data of associative dictionaries and comparing them with the context signals, we can outline a great number of conceptual features signifying such notions as *superiority, greatness, tenacity, perfection, importance, success, pride, vanity, snobbism, respectability*, etc.

Cultural and conceptual value of this symbol, as well as of the whole text, is strengthened by placing it into the position of foregrounding which accentuates the most important information in the text. The principle of foregrounding as a means of text organization drawing the reader's attention to the most conspicuous parts of the text has been discussed in section 7.3. Here it should be stressed that

the effect of foregrounding is achieved by different means. First of all, it is the convergence of stylistic devices and expressive means of the language. The analysed text is characterized by a high density of stylistic devices: **metonymies** – *six thousand top hats, four thousand parasols, ten thousand mouths*, symbolizing the image of a rich, powerful, tenacious bourgeois class; **epithets** – *glorious past, strong, elastic traditions, wonderfully uplifting and reassuring, reserve power, sound heart, regular pulse* which express the author's ironical evaluation of the described event; **proverb** – *there was life in the old dog yet!* stressing the vitality of the bourgeois society; **allusion** – *seven loaves and a few fishes* containing reference to the evangelical story how Jesus Christ fed a big crowd of people with seven loaves and a few fishes.

Particularly, the convergence of syntactical stylistic devices should be underlined because it includes a great variety of means: exclamatory sentences, elliptical sentences, one-member sentences, parallel structures, contact and distant types of repetition. Taken together they promote the effect of emotional tension and gradation.

Another type of foregrounding here is the construction of the text on the principle of contrast. Contrast is ensured here by the semantic opposition “rich-poor” which in the text is realized through the **antonymous pairs**: *top-hat – squash-hatted, old school – the proletariat, starvation – being fed*; **antithesis**: *Wars might rage, taxation prey, Trade Unions take toll; and Europe perish of starvation, but the ten thousand would be fed, and within their ring fence, stroll upon green turf, wear their top hats, and meet themselves*.

This antithesis, expressing contrast between the people's miserable situation caused by the war, hardships, taxes, hunger and the material welfare of the self-satisfied bourgeois class, symbolizes the two hostile classes and conveys the author's evaluative attitude. So, this text explicates the author's conceptual world picture, and introduces human feelings and culture into it.

The notion of the conceptual and language world pictures, be it repeated, have been widely used in cognitive linguistics and linguocul-

turology. For text linguistics these notions also seem to be very important. The conceptual world picture defined as a global image of the world, as a synopsis of knowledge structures (Колшанский, 1990) is reflected in individuals' mind as a result of their intellectual activity. The conceptual world picture correlates with the language world picture, the latter is understood as an explicated with the help of various language means world model, as language fixation of knowledge structures, as language representation of the world (Маслова, 2004). The language world picture is a means of transferring information about the world, people and their interrelation with nature (Телия, 1999). The notion of the language world picture originally based on Humboldt's conception of "language world vision" has been further developed in many researches (Колшанский, 1990; Сукаленко 1992; Человеческий фактор в языке, 1988). The specificity of the language world picture as a subjective image of an objective reality lies in the fact that it reflects both individual and national experience.

Some scholars differentiate between the language world picture and the language national world picture, the former perpetuates general human experience and the latter reflects the experience of a concrete national community. This differentiation, in our opinion, may be approved of only from the theoretical point of view. Practically the language world picture and the language national world picture do coincide specifying either universal or national human values. Everything depends on the approach or aim of a research. Accordingly, in every concrete case the analysis is focused on general or nationally specific features.

The world picture is verbalized by all language means – lexicon, phraseology, language forms and structures. However, a priority role is assigned to the text. It is in the text where all descriptive situations and evaluative attitude to them find reflection. With regard to a literary text, it should be stressed that it is based on complex relationships of all-human, national and individual components, thus reflecting particular conceptual structures and cognitive processes of the author's individual world picture.

9.2. THE NOTION OF “LINGUOCULTUREME” AND ITS CONCEPTUAL ROLE IN FICTIONAL TEXTS

An extremely significant role in the world picture representation is assigned to culture relevant language units – linguoculturemes, Linguocultureme – is a complex, interlevel language unit, a dialectical unit of both linguistic and extralinguistic factors, the correlation between the form of a verbal sign, its semantic content and cultural sense (Воробьев, 2008). Linguoculturemes can be presented by a great variety of language forms including words, word combinations, syntactical structures, text fragments and even the whole text. The sources of cultural information in a linguocultureme are specific for each culture: realia, outstanding people, myths, images, beliefs, customs and traditions. Accordingly, linguoculturemes can be presented by non-equivalent lexicon, anthroponyms, mythologemes, phraseological units, paroemia, speech forms of etiquette, image-bearing means, etc.

Let's analyze the story by W.S. Maugham “Lion's Skin”. The conceptual and cultural significance of this story can be inferred from the analysis of the linguocultural field of the text with the dominant word “gentleman”. Linguacultural field is defined as a hierarchical system of language units characterized by mutually correlated and interdependent meanings expressing a system of corresponding cultural notions (Воробьев, 2008: 60). In the analysed story the linguoculturological field contains those text fragments that reveal the conceptual cultural sense of “**gentleman**” – the key word of the whole story.

It should be noted, in passing, that this word, denoting an English realia, conveys cultural information about a noble, intelligent, well-educated man of good manners and behaviour. The lexicographical interpretation of this lexeme, the analysis of its associative links enable us to reveal a set of the conceptual features constituting the cognitive structure of this word: *gentleman* – a good, honest, principled, clean, ingenious, fair, manly, respectable, reliable, dutiful, responsible, open, truthful. So, the analysed word stands out as an embodiment of the best moral qualities of an Englishman, his good breeding, social status, education. From

all this it follows that the word can be regarded as a linguocultureme which in this context becomes the main cultural concept.

The factual information of this story: a poor young man, who used to be a car-washer, a page-boy, a soldier, dreamt of being a real gentleman. To realize his dream he married a rich woman from whom he concealed his past. All his life he has been playing the role of a gentleman, and was so much used to this image that in the end of the story he really had proved himself to be a gentleman. He sacrificed his life for the sake of his wife's pet, a little dog, saving it from the fire, and thus displaying his ability for heroic and noble deeds.

The detailed analysis of the text makes it possible to decode a set of conceptual features of the linguocultureme "gentleman", which can be referred to cultural or, to be more exact, ethnocultural stereotypes. The notion of a stereotype is widely used in linguoculturology and is defined as a fragment of the conceptual world picture, mental representation of cultural and national perception of an object or situation (Маслова, 2007: 110). It is due to stereotyped perception that the positive characteristics of the personage are explicated in the text with the help of the attributive word-combinations: *great gentleman, gallant gentleman, aristocratic to his finger tops, too perfect a type of an English gentleman, bluff hearty sportsman, the cleanest man, high moral standards, fine gentleman.*

The character's appearance, his way of life, thoughts and behaviour are predetermined by his stereotyped ideas of what a gentleman is: **a) appearance** – *he was not nearly so well-dressed as Robert, who always looked as though he had stepped out of a show-window... he looked like an English sportsman that it gave you quite a shock; In his conversation, in his manners, in his dress he was so typical that you could hardly believe it. He was so much of a country gentleman.* **b) manners** – *He came forward in his affable, hearty way with a grace that always charmed Eleanor; he has a bluff, hearty way with him and a long frank laugh;* **c) behaviour** – *He was a wonderful host. Eleanor had always admired his sense of social duty; however dull the women were he was sitting next to he gave them of his best; You are too great a gentleman*

*to hit a feller smaller than yourself; he didn't think it honourable to ask me to marry. I felt he'd sooner die than let me think he was after my money. He was a fine man; **d) character** – ... one can't help admiring a man whose principles are so high and who's prepared to stick to them at any cost. Captain Forester had high moral standards.*

The above given examples form the linguoculturological field that contains a high positive evaluation of the concept “Gentleman” and expresses general characteristics of the people belonging to this class. This stereotyped image of a gentleman was fixed in the young man's mind as an example to follow. At the same time the author gives his ironical evaluation of this cultural stereotype. The ironical effect is achieved by a contrast which in its turn is created by such stylistic devices as antithesis, oxymoron, paradox. For example:

And his conversation, the way he dogmatized, the platitudinous inanity of his statements, his amiable, well-bred stupidity, were all so characteristic of the retired officer that you could hardly help thinking he was putting it on (p.144).

Here the words “dogmatize”, “*platitudinous inanity*”, “*stupidity*” with negative meanings, used to characterize the person who in this story symbolizes the image of a gentleman, produce an ironical and paradoxical effect, inasmuch as they emphasize mutually exclusive, incompatible semantic features.

The same function is fulfilled by the antithesis used in the following example:

I admire you for carrying of such a stupendous bluff starting as a page boy then being a trooper, a valet and a car-washer? And there you are! A fine gentleman, with a grand house, entertaining all the big bugs of the Rivera, winning golf tournaments, vice-president of the Sailing club, and I don't know what all.

The antithesis here ironically emphasizes the hypocrisy of the main personage, who being of a low origin and status, contrives to turn into a respectable gentleman. Another example is also illustrative

of irony created by stylistic transformations of the word “gentleman”:
“*Oh, don't be so damned gentlemanly with me, Bob*”.

The oxymoron “*damned gentlemanly*” changes a positive evaluation of “gentleman” into its opposite – a negative one.

So, the conceptual world picture of this story is determined by the linguoculturological field, the focus of which is the linguocultureme “*gentleman*”. It is essential to point out that the linguoculturological field here is of a multifold nature and combines components of a) general cultural notions (stereotypes); b) national specific notions (English culture); c) the author's individual attitude (ironical evaluation).

9.3. THE ROLE OF THE TITLE IN THE CONCEPTUAL WORLD PICTURE REPRESENTATION

An important role in the conceptual world picture representation is ascribed to the title. Coming into close and complex relationships with the whole text, it becomes a major element of its semantic structure. It should be noted that the problem of the title has been widely elucidated in the linguistic literature. There are several approaches to the problem:

- text functions of the title;
- lexical, semantic, syntactical aspects of the title;
- stylistic aspects of the title.

We focus on the role of the title in the author's world picture representation. From this perspective the title is regarded as a cultural model, as a superconcept of the whole text. V.A. Kukharenko claims that the title contains the main, and often the only formula of the author's concept (1998: 154).

This approach is explained by the ontological nature of the title: comprising the quintessence of the text's content, it represents the nucleus of the text content (Interpretation, 1990: 46). A complete conceptual sense of the title can be decoded in the process of reading the whole text. In this relation, the title is a curtailed text presented by two or three words.

I.R.Galperin defines the title as a compressive, concealed content of the text, which can be compared to a twisted spring displaying itself in the process of textual communication (1958: 249). So the title is an embodiment of conceptual and cultural information of the whole text.

As an example we can take the title of E. Hemingway's story "The Old Man and the Sea". The story tells us about an old fisherman Santiago, his exhausting daily work, hard struggle with a big fish which finally had been defeated over. But in fact, this story is about a man who never gives up his aim, about unity and antagonism of man and nature. There are two layers, two images in the story presented in the title by metonymical nominations: **the Old Man – the Sea**. The two images correlating with the text and combined in the title by means of associative links express one of the main conceptual layers of the world picture: Man and Nature. Each of the components of the title has its semantic links with the text units and forming the two lines of semantic associations, penetrate into the text and then integrate in the title, thus creating a united linguoculturological field.

The unity of **Man** and **Nature** is conceptualized in many text fragments: descriptions of Santiago's appearance, way of life and thoughts, his attitude to work, his love to nature, the animal and vegetable world. There are many parallelisms in the portrait descriptions that provide evidence to the fact that "Man and Nature" is a single whole, that Man is a part of Nature.

Everything about him was old except his eyes and they were the same colour as the sea and were cheerful and undefeated (p.33);

The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks (p.33);

... his hands had the deep-creased scars from handling heave fish on the cords ... They were as old as erosions in a fishless desert (p.33).

Santiago does not separate himself from his environment, from the sea inhabitants whom he considers to be his brothers and friends:

He was fond of a flying fish as they were his principal friends on the ocean (p.51);

Never have I seen a greater, or more beautiful, or a calmer or more noble thing than you (fish), brother (p.52).

For Santiago everything around him – the sea, the moon, stars, the sun – are living creatures and addressing them, he uses personal pronouns: *he, she*.

He was a fish to keep a man all winter he thought (p.83);

She (sea) is kind and very beautiful. But she can be so cruel and it comes so suddenly ... (p.47);

The old man hit him (fish) on the head ... “Albacore”, he said aloud. “He’ll make a beautiful bait. He’ll weight ten pounds.

A particular love does the old man feel toward the sea which is perceived by him as a human being who endows him with savours, as a woman who should be loved and forgiven.

He always thought of the sea as la mar, which is what people call her in Spanish when they love her ... but the old man always thought of her as feminine and as something that gave or withheld great favours and if she did wild and wicked things it was because she could not help them. The moon affects her as it does a woman, he thought (p.25-26).

The unity of Man and Nature is not always smooth and harmonious. It also presupposes some antagonism. In this text it is the old man’s struggle for survival, the struggle with the storms of the wild sea and the sea beasts.

She (sea) is kind and very beautiful. But she can be so cruel and it comes so suddenly ... (p.47);

They were hateful sharks, bad smelling, scavengers as well as killers, and when they were hungry they would bite at an oar or the rudder of a boat... and they would hit a man in the water if they were hungry, even if the man had no smell of fish blood or fish slime on him (p.81).

Summing up the analysis of this story, we can conclude that the title plays a considerable role in creating the integral whole of the text and constructing the author's individual world picture, thus involving the reader in the system of his notions and values.

9.4. CULTURAL CONCEPTS AND THEIR VERBALIZATION IN THE TEXT

One of the major trends of linguocultural text studies is the consideration of cultural concepts and their role in text semantics. Cultural concept is looked upon as a thematic dominant of the text. The problem of concept is in the focus of attention of many disciplines: cognitive linguistics, linguoculturology, linguoconceptology. It is a subject of frequent debate, and there are different approaches and views. Not going into details, we shall give a general definition of this notion worked out on the basis of the linguistic literature. Concept – is a complex mental entity, a component of the basic world picture conceptually relevant either for individual linguistic personality or the whole linguocultural community. As V.A. Maslova claims, the formation of a concept is conditioned by the individual's emotional, physical, historical, personal and social experience acquired in the process of the world perception. The following traits of a concept relevant for the fictional text and its interpretation can be outlined:

- concept presents knowledge structures about the surrounding world;
- concept is a cultural and nationally specific unit;
- concept is a multifold mental structure consisting of notional, image-bearing and evaluative constituents;

- concept is characterized by a string of emotional, expressive components and associative links.

While considering cultural concepts, we proceed from the assumption that a complete reconstruction, actualization and decoding of their semantic structure and cultural content can be achieved only within the framework of the whole text. A concept has an interlevel character, and it is verbalized in the text by means of language units of all levels. A particular role in representation of cultural concepts is ascribed to stylistically marked units, especially to stylistic devices.

The key role of stylistic devices in text interpretation is undeniable. The problem of a stylistic device as an element of a fictional text, its entity and methods of analysis should be reconsidered in the light of the new scientific paradigms – cognitive linguistics and linguoculturology. Traditionally stylistic devices have been explored in three aspects: structural model, semantic organisation and stylistic functions in the text. Such an approach does not take into account the cognitive and cultural essence of stylistic devices, does not reveal their conceptual value. The linguocultural approach to the problem in question requires a new apprehension of a stylistic device which is regarded as:

- an aesthetic sign of a complex structure which serves as a means of conveying aesthetic values to the mind of the reader;
- one of the main means of verbalizing cultural concepts including notional, emotive and evaluative components;
- a fragment of the conceptual world picture expressing certain knowledge structures;
- a cultural model manifesting elements of universal and national culture.

The following example from S. Maugham's "Theatre" illustrates the role of stylistic devices in expressing the cultural concept LOVE. The main character of the novel, Julia, paradoxical though it may seem, lives on the stage and plays in life. The given below dialogue between Julia and her son tells us about the latter's disappointment with his first love affair. Julia is upset. With enthusiasm and affection does she explain to her son what love is:

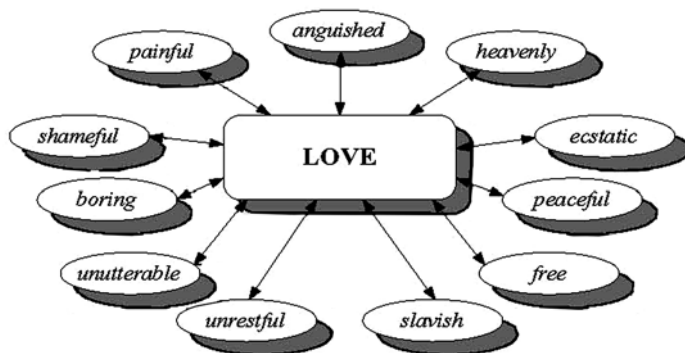
She gave him a little smile.

“And you really think that was love?”

“Well, it’s what most people mean by it, isn’t it?”

“No, they don’t, they mean pain and anguish, shame, ecstasy, heaven and hell, they mean the sense of living more intensely, and unutterable boredom; they mean freedom and slavery; they mean peace and unrest”.

Here the concept LOVE is presented in a condensed, aphoristic form. The utterance contains a convergence of stylistic devices (gradation, antithesis, metaphor, epithet and others), which convey a set of conceptual features constituting the frame structure of the concept. It can be illustrated by the following diagram:



It is interesting to note that both positive and negative features are presented in contrast expressed by antithesis: *heaven and hell, freedom and slavery, peace and unrest*. The combination of the opposed and incompatible conceptual features and their complex interaction specify a deep-lying cognitive structure of the analysed concept.

To continue, the significance of cultural concepts is considerably strengthened in case of their frequent usage in one and the same text. Thus, in O.Wilde’s “The Picture of Dorian Grey” recurrent actualization of the concept BEAUTY places it in the position of foregrounding which in its turn endorses its conceptual value. As a main verbalizer

of this concept here stands out a stylistic device of epigram, which is defined as a terse, witty, pointed statement characterized by the brevity of form and the depth of content (Galperin, 1977: 184).

And Beauty is a form of Genius – is higher, indeed, than Genius, as it needs no explanation. It is of the great facts of the world, like sunlight, or spring-time, or the reflection in dark waters of that silver shell we call the moon. It cannot be questioned. It has its divine right of sovereignty. It makes princes of those who have it (O.Wilde. “The Picture of Dorian Grey”, p.104);

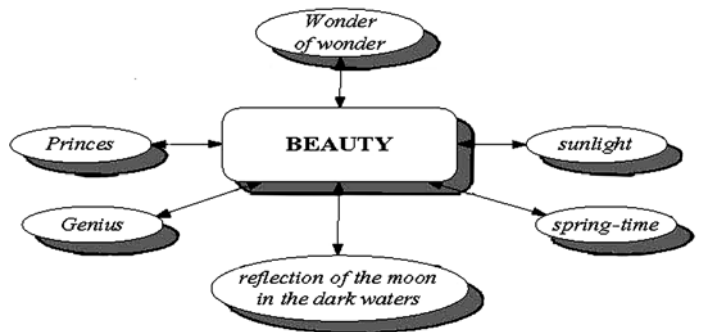
Beauty is the wonder of wonders. It is only shallow people who do not judge by appearances. The true mystery of the world is the visible, not the invisible... (O.Wilde. “The Picture of Dorian Grey”, p.104);

But beauty, real beauty, ends where an intellectual expression begins. Intellect is in itself a mode of exaggeration, and destroys the harmony of any face (O.Wilde. “The Picture of Dorian Grey”, p.81);

Those who find ugly meanings in beautiful things are corrupt without being charming. This is a fault, Those who find beautiful meanings in beautiful things are the cultivated. For these there is hope. They are the elect to whom beautiful things mean only beauty (O.Wilde. “The Picture of Dorian Grey”, p.77).

The peculiar feature of these epigrammatic statements is the abundance of stylistic devices stipulating emotional, evaluative, aesthetic perception of the concept. Most significant here is the role of image-bearing means based on mechanisms of analogy and comparison. As is known, comparison is regarded as one of the means of world cognition, as a means of reflecting the results of cognition in culture (Маслова, 2007: 148). From this it follows that image-bearing stylistic devices such as metaphor and simile are not only the devices of expressiveness, but also a way of cognition, creative thinking and cultural insight. They are prone to reveal a deep-lying entity of the

compared objects in the multitude of their conceptual features. In the above-mentioned examples we outlined the metaphorical predicates of the concept BEAUTY. They enrich the cognitive structure of the concept with new conceptual senses, generate emotional tension and give rise to various connotations and associations. Metaphorical presentation of the concept is shown in the following diagram:



Due to the mechanisms of analogy and semantic transposition cognitive metaphors synthesize different semantics layers, “figurative fields” and create an integral image of BEAUTY as a fundamental cultural value. No less important here is the role of antithesis, which also contributes to the cognitive processing of this concept. As is known, contrasting i.e. revealing not only similarities, but also differences in perception of objects (phenomena, features) is one of the means of the world cognition, and along with analogy it comes out with new vision of the concept. It is of interest to note that metaphorical perception of the concept is confined to its generally accepted positive emotional evaluation of BEAUTY, but antithesis expresses individual paradoxical vision of this concept and lays stress on its exclusiveness and uniqueness.

So, the necessity to study texts in the cultural paradigm is conditioned by the fact that texts reflect an inner spiritual world of an individual and convey cultural information about the world and fundamental cultural values. From this position text analysis puts forward the following tasks:

- to define a system of linguocultural units forming the linguocultural field of the text;
- to consider text as the author's individual world picture embracing a wide spectrum of conceptual senses of all-human, national-specific and individual/personal character;
- to explore cultural concepts as content-thematic dominants of the text and the embodiment of certain cultural values.

QUESTIONS AND TASKS FOR DISCUSSION

1. What are the links between text linguistics and linguoculturology?
2. What are the main notions and trends of linguoculturology?
3. How do you understand the terms “linguocultureme” and linguocultural field?
4. Explain the notions of the “conceptual and language world pictures”. How are they correlated?
5. What is the role of the title in the conceptual world picture representation?
6. Formulate the notion of “cultural concept” and comment on its role in interpreting a fictional text.

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CHAPTER X. METHODS OF ANALYSIS IN TEXT LINGUISTICS

There are three correlated, but nevertheless different terms – methodology, methods and method.

Methodology is a system of theoretical principles and assumptions that a research is based on (Степанов, 2009). Methods is an aggregate of concrete devices and techniques applied to the analysis of a certain language material. Method is a means of theoretical and practical systemization of the language material.

As has already been mentioned, the present stage of linguistics is characterized by the processes of integration as in the case with the new trends in linguistics such as: cognitive linguistics, linguoculturology, gender linguistics, linguoconceptology. In this connection many traditional views, assumptions and methods have been revised and reconsidered. Besides, modern linguistics tends to extrapolate the notions and methods of one science into another. So, text linguistics alongside traditional methods widely exploits new borrowed from other branches methods of analysis.

In this chapter we aim to generalize scientific experience in the field of methods and suggest those which seem most adequate for text linguistics.

Linguistic compensation. It presupposes the analysis of contextual meanings, the correlation of denotative and connotative meanings, comparison of contextual and dictionary meanings. This method is most relevant for text semantics since it enables the reader to discern subtle shades of meanings the language units acquire in the text.

Componential analysis. It deals with, the semantic content of language units and is based on the linguistic postulate that lexical meaning can be segmented into minimal semantic components (semes). The method includes techniques of a multi-stage definitional analysis and that of associative field. Componential analysis was first applied to the study of the semantic word structure, word agreement, lexicographical descriptions, syntagmatic and paradigmatic links of

the word. In text linguistics this analysis may be helpful in revealing conceptual features constituting the cognitive structure of words.

Method of associative field is aimed at revealing associative links of the analyzed unit and building its associative field. This method can be implemented in two ways: 1) on the basis of an associative experiment; 2) on the material of associative dictionaries and thesauruses. An associative experiment has been elaborated in cognitive psychology, and it is based on the assumption that a certain stimulus presupposes some reaction: $S \rightarrow R$. The second way to uncover a net of associations inherent in the analyzed unit is to use the material supplied by various dictionaries of associations.

Supralinear analysis introduced by I.R.Galperin, is concerned with the problem of implicit information. It aims to find the verbal signals of implicit information in the text and give a clue how to explain “dark”, obscure and ambiguous points on the basis of contextual and associative links.

The method of stylistic experiment. It consists in selecting synonyms and antonyms, paraphrasing, compressing and extending text spans, various types of transformations in the text. This method is aimed to clarify stylistic and contextual meanings of the language units and to extract additional stylistic information.

Pragmatic analysis is based on situational interpretation of discourse and aims a) to hypothesise about the author’s pragmatic intention on the basis of verbal signals; b) to characterize the linguistic personality’s social status, cultural background and psychological inner world; c) to substantiate the appropriateness and effectiveness of communication by the verbalized in the text direct or indirect indications to a pragmatic intention and the addressee’s verbal or non-verbal reaction to it.

Methods of parametrization. It is the study of language units, including texts, on the basis of a set of parameters and principles of categorization. It is used to define complex linguistic notions and hierarchy of distinctive features constituting them.

Method of categorization. It is a kind of taxonomical activity aimed at sorting out and combining somewhat similar notions and correspon-

ding units into larger categories. This method is based on cognitive operations of comparing, contrasting, identifying, setting up similarities and differences, etc. In the domain of text linguistics the method of categorization may be helpful in analyzing text as a conceptual system, and revealing hierarchical relationships between its constituents.

Method of inference. It means interpreting implications and inferences drawn from the cognitive processing and conceptualization of the text (KCKT, 1996). The cognitive interpretation of textual data makes it possible to get new information, exert additional conceptual senses and draw some conclusions about the conceptual system of the whole text.

Conceptual analysis is based on theories that relate linguistic choices to cognitive structures and processes. In the fictional texts conceptual analysis deals with the problems of conceptualization, conceptual world picture, conceptual information. It presupposes searching for the conceptually relevant verbal signals in the text including: a) key words; b) means of foregrounding (convergence of stylistic devices and expressive means, coupling, defeated expectancy); c) implicates; d) title and other language units used in the text to verbalize micro-, macro- and superconcepts.

Conceptological analysis. It is a comprehensive, multi-stage analysis of concepts which presupposes description of a) the concept structure and its constituents (notional, figurative and evaluative spheres); b) hierarchical taxonomy of cognitive features inferred in the process of conceptualization; c) distribution of cognitive features according to the “field” principle, i.e. their reference either to the nucleus or periphery of a concept.

Cognitive metaphorical analysis is based on the theoretical conception that metaphor is not only a stylistic device, but a means of conceptualization. It is one of the main mental operations, a means of cognition, categorization and evaluation (Lacoff, 1980). Metaphorical analysis aims to disclose the mechanism of metaphorization which lies in the interaction of the two, source and target, spheres. The system of knowledge structures of a source sphere serves as a basis for

cognitive modelling of a target sphere. Cognitive metaphorical analysis is of a special significance for fiction since imagery is considered an inalienable property of this text type.

Method of cognitive modelling. It enables a researcher to decode the “deep structure” of the text and includes frame analysis and cognitive mapping.

Frame analysis is based on interaction of language structures and their mental models. Frame is a hierarchical structure of linguistic data representing a stereotyped situation. It consists of two levels: the upper level is the name of the frame, the lower level includes terminals, slots and subslots containing concrete information about the described situation. Frame analysis or the process of frame activation can be presented as follows: a verbal signal (stimulus) outlines a contour of the frame in which many slots are implicit. The explication of these slots can be achieved by the study of syntagmatic and paradigmatic, systematic and contextual, connotative and associative links of the stimulus. With regard to the text frame analysis consists in a) searching for the verbal signals representing conceptually relevant frames; b) activating the frame structure with the help of the above - mentioned techniques; c) conceptualizing knowledge structures presented by the frame.

Cognitive mapping helps penetrate into “deep” semantics of the language units. It is presented as a step-by-step procedure including the study of:

- dictionary definitions and lexicographical interpretations of a word;
- properties conditioned by paradigmatic and syntagmatic links;
- word - building potential;
- phraseological units and paroemia affiliated to the analyzed word;
- all possible contexts of the word indicative of its conceptual senses.

Cross-cultural analysis. It is based on comparing and contrasting languages and cultures. It consists in cognitive interpretation of a) culturally and conceptually relevant language units in the text (linguoculturemes); b) universal and nationally-specific properties of language units including texts; c) cultural concepts manifesting particular domains.

Corpus analysis with the help of computer technologies enables the researcher to collect a great volume of language materials, to select all possible contexts of key words and expressions. This analysis ensures a more adequate interpretation of linguistic data.

In conclusion it should be stressed that the choice of methods depends on the text type, the character of the analyzed language units and the scientific tasks to be accomplished. For example, with regard to linguistic analysis of cultural concepts the following methods are most relevant: frame analysis – cognitive mapping – method of inference – conceptualization – cross-cultural analysis.

QUESTIONS AND TASKS FOR DISCUSSION:

1. What methods of analysis are most relevant for text linguistics?
2. How can the methods of cognitive linguistics be applied to text linguistics?
3. What steps does cognitive mapping consist of?
4. What are the aims of frame analysis?
5. What results can be achieved with the help of corpus analysis?
6. Illustrate this or that method in action on the material of a concrete text, and comment on the results achieved.

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GLOSSARY

Activization, activation – stimulation of certain parts of the brain in the process of speech activity under the influence of verbal signals aimed to represent certain knowledge structures.

Ambiguity – an essential quality of stylistically marked units conveying blurred meanings, uncertainty, duality, caused by alternative conceptualizations, and leading to multiple inferences.

Categorization – a mental process of taxonomic activity, regulated presentation of various phenomena classified according to their essential, categorial characteristics.

Cognitive metaphor – one of the fundamental processes of human cognition, a specific way of conceptualizing reality based on the mental process of analogy and knowledge transfer from one conceptual field into another.

Coherence of the text – the semantic integrity of the text, its wholeness ensured by the referential affinity, thematic unity of the language units functioning in the text.

Cohesion of the text – the correlation of the text structure components, forms of connection between separate parts of the text. Different types of cohesion are distinguished: syntactical, lexical, morphological, stylistic, etc.

Composition – a complex organization of the text, the elements of which are arranged according to a definite system and in a special succession.

Conceptualization – a mental process of concept formation in the individual's mind, one of the main processes of the human cognitive activity connected with composing knowledge structures on the basis of text data and background information, mechanisms of inferences, making conclusions, decoding implied information.

Conceptual world picture – a global image of the world and its essential features reflected in the individual's mind as a result of his spiritual activity.

Convergence of stylistic devices – an accumulation of stylistic devices and expressive means within one fragment of the text. Stylistic-

tic means brought together enforce both logical and emotive emphasis of each other, thus attracting attention to certain parts of the text.

Coupling – the recurrence of the same elements in the same positions. It is created by all types of repetition, parallel structures, synonyms, antonyms, words belonging to the same semantic field, etc.

Cultural concept – a culture specific and nationally oriented unit, a multifold mental structure consisting of notional image-bearing and evaluative layers and characterized by emotional, expressive components and associative links.

Discourse – culturally conditioned and socially oriented communicative activity. Discourse is a text in dynamics. It is a purposeful social activity based on interaction of language and cognition.

Frame – a hierarchical structure of linguistic data representing a stereotyped situation. It consists of two levels: the upper level is the name of the frame; the lower level consisting of subframes, terminals, slots and subslots, contains concrete information about the situation in question.

Fictional portrait – a text fragment of a descriptive character in the author's or character's speech consisting of one or more sentences which describe personages' appearance and serve a communicative aim of expressing inner psychological state of a personage.

Foregrounding – a cognitive principle of distributing information in the text; it marks out the most essential, relevant fragments of the text, thus guiding its interpretation. The following types of foregrounding are distinguished: convergence of stylistic devices, coupling, defeated expectancy, "strong" positions of the text.

Functional style – is a system of interrelated language means which serves a definite aim in communication. Traditionally, the following functional styles are distinguished: newspaper style, publicistic style, scientific style, belles-lettres style, the style of official documents.

Implicate – a text component, a twofold structural-semantic unit of the implicit level of the text that causes a problem situation in the text, and consequently, some communicative and stylistic tension.

Implicitness – an essential property of a fictional text aimed to transfer indirect, hidden information which has to be inferred in the process of text interpretation.

Individual style – a unique combination of language units, expressive means and stylistic devices peculiar to a given writer. It makes the writer's works easily recognizable.

Intertextuality – a peculiar quality of certain texts to correlate with others both semantically and structurally. Intertext contains explicit intertextual markers: epigraph, repetition of text forms (structures, rhythm, lexical units), antonomasia, allusion, quotation, etc.

Language world picture – the verbal explication of the conceptual world picture, a means of transferring information about the world, people, relations.

Linguistic personality – a manifold, multi-component and structurally organized set of language competences, a certain linguistic correlate of spiritual world of a personality in the integrity of his social, ethnic, psychological, aesthetic characteristics.

Linguoculturology – a rapidly expanding field at the interface between linguistics and culturology. It deals with the “deep level” of semantics, and brings into correlation linguistic meanings and the concepts of universal and national cultures.

Linguocultural field – a hierarchical system of language units used in the text and characterized by mutually correlated and interdependent meanings expressing a system of corresponding cultural notions.

Linguocultereme – a complex interlevel language unit, a dialectical unit of both linguistic and extralinguistic factors, the correlation between the form of a verbal sign, its semantic content and cultural sense. The sources of cultural information in a linguocultereme are specific for each cultural phenomenon: realia, myths, images, beliefs, outstanding people, customs and traditions.

Perception – a cognitive activity dealing with the cognitive processing of text information, its conceptualization and categorization.

Pragmatic intention – verbalized in the text the addresser's deliberate intention to exert influence on the addressee. It leads to a conscious or unconscious reconstruction of the world picture in the addressee's mind.

Prospection – a text category reflecting events in a progressive order hence the sequence of tenses is strictly observed.

Retrospection – a text category denoting some violation of the sequence of events, and the reader first gets acquainted with the events which happened earlier (flash-back) or later (flash-forward).

Text – a complex communicative unit, a sequence of verbal signs, a bilateral unit, consisting of the plane of expression, and that of content, a complex structural and semantic unit conveying certain information and characterized by certain categorical properties – informativity, cohesion, coherence, communicative aim and pragmatic intentions, modality, etc. According to the aim of communication text can be studied from different angles: semantic, structural, communicative, sociocultural, cognitive, etc.

Textual integrity – a condensed and generalized content of the text, its semantic kernel.

Textual modality – the attitude of the speaker or writer to the information conveyed by a text. Modality exists in two varieties: objective and subjective; the latter embraces the whole range of evaluations, attitudes, opinions and emotions.

Text linguistics – a branch of linguistics that deals with texts as communicative systems, as “language in action”. It studies text or textual phenomenon (parts, fragments, units exceeding the limits of a sentence), its boundaries, its main features and categories, text-types, principles of text production and perception.

Text category – a property which is inherent in all texts or in a text type. It is a twofold entity formed on the basis of both the semantic content and its formal means of expression

Text type – a productive model of text formation, which is characterized by a peculiar system of structural, semantic and functional traits inherent in thematically different texts.

Text typology – a branch of text linguistics which studies different types of texts, criteria for their differentiation, linguistic and extralinguistic peculiarities of text types, their taxonomy and classification

Title – is a significant element of the semantic structure and aesthetic organization of the text, its compressive and concealed content, and an embodiment of its conceptual and cultural information.

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DICTIONARIES

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 CERD – Cosmo English Reference Dictionary. –India. 1987
 COD – The Concise Oxford Dictionary. – Oxford, Oxford University Press. 1984
 DWNDS – Webster’s New Dictionary of Synonyms. USA. Merriam-Webster Inc. 1984
 LDCE – Longman Dictionary of Contemporary English. –М.: Русский язык, 1992
 OSDCE – Oxford Student’s Dictionary of Current English. –М., Oxford, 1983
 PED – The Penguin English Dictionary. –USA, 1965
 RTh – Roget’s thesaurus. –USA, 1973, –Great Britain, 1978
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READINGS

Text and Text Analysis

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Communication Through Text and Discourse

People use language to communicate. Language users communicate through discourse. Sometimes, utterances of one word ('John!' 'Okay.' 'Stop!') or one sentence ('I declare the games opened') suffice to get the message across, but usually language users communicate through a connected sequence of minimally two utterances, i.e., discourse. The importance of the discourse level for the study of language and linguistics can hardly be overestimated: "Discourse is what makes us human" (Graesser *et al.*, 1997). It is not surprising, therefore, that the study of text and discourse has become an increasingly important area over the last decades, both in linguistics and psychology.

The term 'discourse' is used as the more general term to refer to both spoken and written language. The term 'text' is generally used to refer to written language. This article focuses on text. Although spoken and written discourse have crucial characteristics in common, the linguistic traditions of the study of written and spoken discourse are very different. 'Monological texts' are traditionally studied in areas such as stylistics, text linguistics, and psycholinguistics, often based on rather specific linguistic analyses and regularly using a quantitative methodology. By contrast, 'dialogical discourse' has long been the arena of conversation analysis and socio-linguistics, often focused on qualitative interpretations of individual conversations in context. Over the last 10 years, this situation has begun to change. With the growing availability of spoken corpora and the growing insight that the study of spoken and written discourse should be related because they complement each other (Chafe, 1994), the linguistic study of discourse is becoming less and less restricted to one medium. See, for instance, the overview by Ford *et al.* (2001), who relate linguistic subdisciplines such as grammar and the study of conversation.

A text is more than a random set of utterances: it shows connectedness. A central objective of linguists working on the text level is to characterize this connectedness. Linguists have traditionally approached this problem by looking at overt linguistic elements and structures, thereby characterizing it in terms of cohesion (Halliday and Hasan, 1976; *see Cohesion and Coherence: Linguistic Approaches*). By this view, connectedness is localized in the text itself because of explicit linguistic clues, such as pronouns referring to earlier mentioned subjects (cohesion type: *reference*), e.g., *he* refers to *bird-watcher* in (1); or conjunctions, such as *because* in (2) (cohesion type: *conjunction*), which express a causal relation.

1) The bird-watcher had a great day. He observed a kingfisher and a group of 70 cranes.

2) The bird-watcher had a great day because he observed a kingfisher and a group of 70 cranes.

3) The bird-watcher had a great day. A kingfisher and a group of 70 cranes were in the area.

Influential as the cohesion approach has been, the interdisciplinary field of text linguistics and discourse studies is nowadays dominated by the ‘coherence’ approach: the connectedness of text is considered a characteristic of the mental representation rather than of the text itself (*see Cohesion and Coherence: Linguistic Approaches and Coherence: Psycholinguistic Approach*). The main reason is probably that a sequence of sentences like (1) or (2) is still interpreted as a perfectly normal piece of text if the cohesive elements of reference and conjunction are absent, as in (3). Hence, the connectedness is not dependent on these overt markers. This does not imply, however, that the linguistic elements signaling text coherence are unimportant.

Although coherence phenomena are of a cognitive nature, their reconstruction is often based on linguistic signals in the text itself. These linguistic expressions are considered ‘processing instructions’ to language users. For instance, referential expressions, such as pronouns and demonstratives, are used in such a way that interpreters can systematically recover the referential coherence (*see Accessibility Theory and Discourse Anaphora*). Similarly, connectives (*because, however*) and (other) lexical markers of relations, such as cue phrases (*On the one hand, on the other hand*) and signaling phrases (*The problem is ... A solution might be ...*), make the meaning relations between text segments explicit (*see Connectives in Text*). In recent years, the relationship between the linguistic surface code, on the one hand, and aspects of the text representation, on the other hand, has become a crucial research issue in the interdisciplinary field of text linguistics and discourse studies (cf. Gernsbacher and Givon, 1995; Sanders and Spooren, 2001; Graesser *et al.*, 2003).

Text

It follows from the discussion above that, in this article, we consider a text to be a monological stretch of written language that shows coherence. The term ‘text’ derives from the Latin verb *texere* ‘to weave’ (hence the resemblance between the words ‘text’ and ‘textile’). But what is it that makes a text a text? This question has been at the center of attention of the fields of discourse studies and text linguistics, especially since the 1970s.

Meaning Rather than Form

In the area of syntax - ‘sentence analysis’ - the principled discussion on the question of whether syntax is an autonomous and purely formal level of representation is

still going on, especially with the recent rise of cognitive linguistics (cf. Langacker, 1986; Jackendoff, 1996) (*see also* Cognitive Linguistics). At the discourse level such a discussion is nowadays absent. In the pioneering years of text linguistics, scholars like van Dijk (1972) and Petofi and Rieser (1973) attempted to describe texts as a string of sentences within the framework of generative grammar. Analogous to the way in which sentence grammars described sentences in terms of their constituents, texts were seen as constituted by sentences. In generative grammar, a sentence is the result of rewriting rules of the form: S → NP + VP.

In 'text grammars,' a text was regarded as consisting of sentences: T → SI ... Sn. Similarly, the top of hierarchical text representations was formed by a T (for 'text'), analogous to the S for sentence in generative sentence representations. In psychology, so-called 'story grammars' were developed in the late 1970s (Thorn-dyke, 1977; Rumelhart, 1977). According to such representations, a 'story' consists of a setting ("Once upon a time, there was a little girl who lived in the woods with her parents. She was called Little Red Riding Hood.") and an 'episode' ("One day, her mother asked her to bring some food to grandmother ...") and, with the help of the same type of rewriting rules, episodes can in turn be represented as a combination of an 'event' ("Why do you have such a big mouth? she asked.") and a 'reaction' ("The wolf jumped out of bed and ate her."):

Story → setting + episode Episode □ » event + reaction

Several scholars have argued that the analogy with sentence grammar is not convincing, among them Brown and Yule (1983) and Wilensky (1983):

... while our intuition of 'sentencehood' is a clearly linguistic notion, our intuition of 'storiness' most certainly is not [...]. the notion of 'Story' refers to actions, events, goals, or other mental or conceptual objects. In other words, our intuitions about stories are closer to our intuitions about the meanings of sentences than they are about they are about sentences themselves (Wilensky, 1983: 580).

And indeed, ever since Halliday and Hasan (1976), Hobbs (1979), and van Dijk (1977), it is widely accepted that purely formal or syntactic principles play a far smaller role at the discourse level. It is hard, for instance, to make much sense of the idea of a structurally 'well-formed' but semantically anomalous text. There is a consensus that the well-formedness of a discourse is primarily to do with its meaning -more specifically, with the question of whether the meanings of its component segments can be related together to form a coherent message.

What Makes a Text a Text?

What, then, are the crucial characteristics of text? At present, the dominant stance is that 'coherence' explains best the connectedness shown by texts. Coherence is considered a mental phenomenon; it is not an inherent property of a text under consideration. Language users establish coherence by relating the different information units in the text.

Generally speaking, there are two respects in which texts can cohere (Sanders and Spooren, 2001):

‘Referential coherence’: smaller linguistic units (often nominal groups) may relate to the same mental referent throughout the text (*see also* Discourse Anaphora); or

‘Relational coherence’: text segments (most often conceived of as clauses) are connected by coherence relations, such as cause-consequence, between them (*see also* Clause Relations).

Both coherence phenomena under consideration -referential and relational- have clear linguistic indicators that can be taken as processing instructions. For referential coherence, these are anaphoric devices such as pronouns, and for relational coherence these are connectives and (other) lexical markers of relations.

Ever since the seminal work of linguists such as Chafe (1976) and Prince (1981), both functional and cognitive linguists have argued that the grammar of referential coherence can be shown to play an important role in the mental operations of connecting incoming information to the existing mental representations. For instance, referent NPs are identified as either those that will be important and topical, or as those that will be unimportant and nontopical. Hence, topical referents are persistent in the mental representation of subsequent discourse, whereas the nontopical ones are nonpersistent. In several publications, Ariel (1988, 2001) argued that regularities in grammatical coding should indeed be understood to guide processing. She studied the distribution of anaphoric devices and suggested that zero anaphora and unstressed pronouns cooccur with high ‘accessibility’ of referents, whereas stressed pronouns and full lexical nouns signal low accessibility. This cooccurrence can easily be understood in terms of cognitive processes of activation: high-accessibility markers signal the default choice of continued activation of the current topical referent. Low-accessibility anaphoric devices, such as full NPs or indefinite articles, signal the terminated activation of the current topical referent-and the activation of another topic (*see* Accessibility Theory).

‘Centering theory’ (see Walker *et al.*, 1998 for an overview) makes explicit and precise predictions about the referent that is ‘in focus’ at a certain moment in a discourse. It even predicts that the degree of text coherence is determined by the extent to which it conforms to ‘centering constraints.’ Given a clause in which referential antecedents are presented, centering theory predicts the likelihood that an antecedent will be a central referent - which is ‘in focus’ - in the next clause. The salience of a discourse entity is determined by a combination of syntactic, semantic, and pragmatic factors, such as grammatical role (subject or not), expression type (zero, pronoun, or NP), and discourse topic-hood. Several processing studies have demonstrated the ‘psychological reality’ of linguistic indicators of referential coherence (see Garrod and Sanford, 1994, and Sanford and Garrod, 1994, for an overview; *see also* Discourse Processing).

We now turn to (signals of) ‘relational coherence.’ ‘Coherence relations’ are often taken to account for the connectedness in readers’ cognitive text representation (cf. Hobbs, 1979; Sanders *et al.*, 1992). They are also termed ‘rhetorical relations’ (Mann and Thompson, 1988; *see* Rhetorical Structure Theory) or ‘clause relations’ (*see* Clause Relations). ‘Coherence relations’ are meaning relations connecting, at a minimum, two text segments. A defining characteristic for these relations is that the interpretation of the related segments needs to provide more information than is provided by the sum of the segments taken in isolation (Sanders *et al.*, 1992). Examples are relations like ‘cause-consequence,’ ‘list,’ and ‘problem-solution.’ These relations are conceptual and they can, but need not, be made explicit by linguistic markers, so-called connectives (*because, so, however, although*) and lexical cue phrases (*for that reason, as a result, on the other hand*) (*see* Connectives in Text).

In the last decade, much research in relation semantics and pragmatics has focused on the question of how to taxonomize or classify the set of coherence relations (Hovy, 1990; Knott and Dale, 1994; Pander Maat, 1998; Redeker, 1990; Sanders, 1997). The main reason for this interest is the cognitive interpretation of coherence relations: if they are to be considered as cognitive mechanisms underlying discourse interpretation, it is attractive to find out which more general principles are involved in relation interpretation. While work on the hierarchical classification of discourse relations goes back at least as far as Grimes (1975) and Halliday and Hasan (1976), the idea that a small number of reasonably orthogonal primitives is responsible for the differences amongst coherence relations is more recent. Sanders *et al.* (1992) defined the ‘relations among the relations,’ relying on the intuition that some coherence relations are more alike than others, and that the set of relations can be organized in terms of more primitive notions, such as polarity and causality. Several types of evidence in favor of such an organization were produced, varying from experiments in which text analysts judged relations (Sanders *et al.*, 1992, 1993; Sanders, 1997), to research on the acquisition order of connectives (Evers-Vermeul, 2005) and processing studies indicating how different coherence relations result in different representations (Sanders and Noordman, 2000; *see also* Connectives in Text). In such an account of coherence, connectives and other lexical signals are seen as ‘processing instructors.’ And indeed, experimental studies on the role of connectives and signaling phrases show that these linguistic signals affect the construction of the text representation (cf. Millis and Just, 1994; Noordman and Vonk, 1997).

In sum, it can be concluded that there is compelling evidence, from both linguistic and psycholinguistic studies, in favor of the view that referential and relational coherence are crucial principles, which make a set of sentences a text.

Text Analysis

Now that we have an idea of what a text is, we can define ‘text analysis’ as the systematic dissection of a textual unity in its constituent parts and the study of those

parts in relation to each other. By consequence, text analysis focuses on the linguistic elements present in the text. Texts may be analyzed with different aims and from several perspectives.

A first text-analytic research goal is of a theoretical nature. It concerns the further development of linguistic theory at the discourse level: how are texts structured? There are now several well-established theories that propose mechanisms by which the meaning of individual sentences can be constructed, but the situation with entire texts is different. Text analysis is of crucial importance to the further development of text linguistics.

A second aim is to provide insight into the cognitive processes of reading and writing, or in the text representation that language users have of a text. In reading research, the role of text structure is an important research topic in which text analyses are used to model both the text structure and the representation that readers make of it (see previous paragraph). In writing research, the role of text analysis has received less attention for a long time, even though Bereiter and Scardamalia (1987) argued for the interaction between psychological models and text linguistic research. They pointed to a deficiency in studies of writing and argued that text analysis had a large role to play in discovering the implicit rules of composition.

A third aim is of a computational linguistic nature: the development of computational models of automatic summarization, text generation, and interpretation. Here, the analysis of natural texts should provide the rule system to arrive at such computational models. Although some theories and models discussed in the sections to follow were explicitly developed in the context of such a computational enterprise (such as Rhetorical Structure Theory), computational text analyses are not discussed here (*see* Natural Language Processing: Overview).

A fourth aim is the evaluation of text quality in the context of written composition and document design. A text analysis can provide the basis for a comparison of similar texts, enabling researchers to compare the writing ability of the authors (Cooper, 1983). In document design, text analysis can predict areas where readers may have difficulties and where revision is imperative. It is also used to investigate the relationship between text structure and the successful layout of various documents, even multimodal ones (Delin and Bateman, 2002).

From what perspectives do text analysts try to catch the ‘meaning’ in text? A first division is that between content-oriented and structure-oriented approaches. ‘Content-oriented’ approaches to text analysis uncover what an individual text is ‘about,’ either by starting from the smallest building blocks (propositions) or by characterizing texts on a more global level: the topics and subtopics that are covered. ‘Structure-oriented’ approaches uncover the meaning relations between the textual building blocks, such as causal, contrastive, and additive relations, but also referential relations. Some approaches provide analytic models that allow for a hierarchical representation representing the whole text in such terms.

Content-Oriented Approaches

Micro- and Macrostructure In the context of a psychological model of text processing, Van Dijk and Kintsch (1983) distinguished between three aspects of text representation: ‘microstructure,’ ‘macrostructure,’ and ‘superstructure’ (*see* Macrostructure). Superstructures - representing the global structure that is characteristic of a text type - will be discussed in the section on structure-oriented approaches. Micro- and macrostructure concern the content of a text. The basic building blocks of these representations are ‘propositions,’ i.e., a unit of meaning that consists of a predicate and connected arguments. For instance, the proposition underlying sentence (4) would be (4’), where *see* is the predicate and *he* and *kingfisher* are the arguments.

- (4) he sees a kingfisher
- (4’) (see (he, kingfisher))

The microstructure is a network of propositions like these that represents the textual information in a bottom-up fashion, sentence by sentence. Building on earlier work, van Dijk and Kintsch (1983) presented an influential model of text comprehension, which predicted the information recalled best by readers. For the purpose of text analysis, it is important to focus on another component of the Van Dijk and Kintsch model: macrostructure. On the basis of the microstructure or ‘text base,’ a macrostructure can be built - an abstract representation of the global meaning structure that would reflect the gist of the text (*see* Macrostructure). This is achieved by applying macro-rules to the detailed meaning representation of the microstructure. ‘Deletion,’ ‘generalization,’ and ‘construction’ are such macrorules, which produce macro-propositions: the main ideas in the text (see especially van Dijk, 1980). This idea of producing the macrostructure on the basis of the details of the microstructure is certainly appealing. The results of some experimental processing studies seem to show that macrostructures can predict recall and summarization results: Propositions present in the macrostructure are remembered better than propositions that are ‘only’ present in the microstructure (Graesser, 1981). Arguably, the theoretical and empirical status of this part of the van Dijk and Kintsch theory is less clear than the microstructure part. This was probably a result of the fact that macrorules were underspecified. In addition, it is not always easy to identify linguistic signals of macropropositions at the surface level of the text, even though titles, headings, abstracts, and topical sentences are mentioned as signalling macropropositional ideas. In recent years, Kintsch (1998) and others have argued that macrostructures can be derived from texts by using ‘latent semantic analysis’ (*see* Latent Semantic Analysis). Here, the meaning of sentences is represented by a vector in a high-dimensional semantic space. Vectors that relate most to the rest of the text can be identified as macropropositions.

Theme and Thematics ‘Thematics’ is the interdisciplinary study of ‘about-ness’ in text (*see* Thematics). The notion of ‘theme’ refers to the main idea or topic of the text. For instance, a text can be about a kingfisher or about an ornithologist having a great day. The study of theme has been popular in literary studies. Thanks to the involvement of text linguistics and stylistics, the study of linguistic cues that create thematic meaning has become increasingly important (Louwerse and Van Peer, 2002). For instance, formulations and stylistic figures also emphasize the thematic meaning of a text.

However, regular aspects of formulation, such as the linear order of the information in clauses and sentences, can also contribute to the identification of the theme. A typical linguistic aspect studied in more detail is the way in which the first position in a clause has a special textual status. The terminology is somewhat confusing here, because linguists refer to the information provided in this position with the term ‘theme,’ whereas any information following this local theme is called ‘rheme’ (*see* Theme in Text). The opening positions of clauses often contain information that guides the reader in constructing a picture of the text as a whole. In linguistics, and especially in systemic functional grammar, sequences of theme-rheme are studied, resulting in patterns of thematic development.

Structure-Oriented Approaches

Most linguistic methods of text analysis focus on the general properties of text structure, abstracting away from the specific content of individual texts. Accounts of text structure usually pay attention to

1. the meaning of the left-right relations between text segments, where the analysis is based on relational and referential coherence; and
2. the hierarchical structure of the text, which accounts for the intuition that the information that is ordered higher in a tree-like representation is more important than the lower information.

Superstructure van Dijk and Kintsch’s (1983) model included micro- and macrostructures, which resulted in a representation of the text content, as was discussed above. The third element in their model is the ‘superstructure,’ which “provides a kind of overall functional syntax for the semantic macrostructures” (van Dijk and Kintsch, 1983: 242). It is the conventional, hierarchical form in which the content of the macrostructure is presented. An example of such a superstructure is that of the type ‘news discourse,’ in which superstructural categories are distinguished, for example, *headlines*, *lead*, *context*, *event*. Super-structural categories are typically of a global nature in that they organize larger chunks of text rather than consecutive sentences. In addition, a superstructure analysis proceeds top-down: it starts from the highest text level. Superstructures for several other conventional text types were developed, among them the ‘Experimental article.’ There seems to be a clear paral-

lel here with text type and genre: it would seem logical to expect that stereotypical text types can be characterized in terms of a superstructure (*see* Genre and Genre Analysis). Therefore, a text analysis in terms of superstructures is text type-specific by definition.

Clause Relations, Coherence Relations, and Discourse Patterns By contrast, a text analysis based on clause or coherence relations would be generally applicable, independent of text types. It proceeds bottom-up, starting from consecutive clauses. One common relation is called ‘problem-solution’ or ‘solutionhood’ (*see* Problem-Solution Patterns). See examples (5) and (6).

5) I’m hungry. Let’s go to the Fuji Gardens.

6) What if you’re having to clean floppy drive heads too often? Ask for Syncom diskettes, with burnished Ectype coating and dust absorbing jacket liners.

Mann and Thompson (1986, 1988) treated solutionhood as simply one of the relations, where others have argued that solutionhood was more complex than that (Grimes, 1975; Hoey, 1983; Sanders *et al.*, 1993): “Both of the plots of fairy tales and the writings of scientists are built on a response pattern. The first part gives a problem and the second the solution” (Grimes, 1975: 211). On the basis of clause relations, more complex structures can be built: a ‘discourse pattern’ (Hoey, 1983) or a ‘response pattern’ (Grimes, 1975). Hoey (1983) argued that a recurrent combination of clause relations can organize a substantial text fragment, or even a whole text. See the illustrating example from Hoey (1983: 35):

(7)

(i) I was on sentry duty.

(ii) I saw the enemy approaching,

(iii) I opened fire,

(iv) I beat off the attack.

Hoey provided several paraphrase tests to recognize the clause relations on which the pattern is based: ‘instrument-achievement’ with ‘(iii) thereby (iv),’ ‘by (iii) ... ing,’ and ‘(iii) by this means (iv)’ (Hoey, 1983: 39-41); and ‘cause-consequence’ ‘because (ii), (iii)’ and ‘(ii) therefore (iii)’ (Hoey, 1983: 41-42). Paraphrase tests like these are often a great help for inexperienced text analysts, who find it hard to determine the exact relationship expressed between text segments.

This heuristic to identify discourse patterns is an outstanding example of a text-analytic method in the field of clause and coherence relations. The research in this field discussed earlier in this section has probably been more important for the identification of coherence relations and for the theoretical issues discussed earlier (the nature of coherence, taxonomies of relations, the linguistic expression and processing of relations). However, a very important account has not been discussed so far: rhetorical structure theory.

Rhetorical Structure Theory In the 1980s and 1990s, Mann and Thompson (see especially Mann and Thompson, 1988) presented ‘rhetorical structure theory’ (RST), a functional theory of text organization developed in the context of linguistics and cognitive science (*see* Rhetorical Structure Theory). At the heart of RST are the so-called ‘rhetorical relations,’ similar to clause or coherence relations, and including relations like ‘cause,’ ‘elaboration,’ and ‘evidence.’ The relations are defined in terms of conditions on the nucleus (the most important segment in a relation), on the satellite (which depends on the nucleus), and their combination, and in terms of the effect on the reader. Relations are identified between adjacent text segments (e.g., clauses) up to the top level of the text. The top level of an RST tree organizes the text as a whole: a relationship that dominates the total text structure.

Rhetorical structure theory has proven to be a very useful analytic tool. One of its benefits is that it allows for a complete analysis of any text type: expository, argumentative, or narrative. The system has been applied to many real-life texts, among them newspaper articles, advertisements, and fundraising letters (Mann and Thompson, 1992). As a rule, an RST analysis starts with an inspection of the entire text. The analysis does not proceed in a fixed way; it proceeds bottom-up (from relations between clauses to the level of the text) or top-down (the other way around) or follows both routes (Mann *et al.*, 1992). The analysis results in a hierarchical structure that encompasses the entire text and has a label attached to each of its branches.

Although RST defines rhetorical relations in a fairly exact way, the assignment of a label is ultimately based on observed ‘plausibility.’ Four general constraints are the guidelines: ‘completedness,’ ‘connectedness,’ ‘uniqueness,’ and ‘adjacency’ (Mann and Thompson, 1988:248-249). How the analysis actually proceeds is left to the intuitions of the analyst and is, in the end, a matter of text interpretation. Still, it has been shown that RST can be applied with a reasonable amount of consensus by expert text analysts (Den Ouden, 2004) and to a certain extent, RST analyses can even be produced automatically (Marcu, 2000).

Procedural Text Analysis Rhetorical structure theory requires a fair amount of text interpretation based on the analysts’ overview of the text as a whole. This overview situation may not reflect the way in which writers produce texts. Spontaneously produced texts, especially, are the result of a more incremental process. Sanders and van Wijk (1996) developed ‘procedures for incremental structure analysis’ (PISA), which incorporates both ideas about written text production and insights from the text analytical literature, especially with respect to hierarchical aspects of text structure.

Conclusion and Further Research

There are several interesting developments for the research agenda in the years to come. Before we go into detail, a general methodological remark seems in order. Text analyses of corpora of natural language texts have a crucial role to play in text

linguistics and discourse studies, because the development of theoretical models of discourse phenomena needs to proceed in interaction with the study of the (sometimes very complex) reality of natural language in use (cf. Emmott, 1997).

Let us now focus on some specific issues that follow from our analysis of the state-of-the-art in the preceding sections. A first important issue is the linguistics/text linguistics interface. There are clear rapprochements between grammarians, (formal) semanticists, and pragmaticists on the one hand and text linguists on the other hand (Sanders and Spooren, in press). Questions to be asked are: what is the relationship between information structuring at the sentence level and at the discourse level? How do factors such as tense, aspect, and perspective influence discourse connections (Lascarides and Asher, 1993; Oversteegen, 1997)? For instance, discourse segments denoting events that have taken place in the past (*The birdwatcher saw a small blue bird near the river. It was a kingfisher*) will typically be connected by coherence relation of the content type, whereas segments in the present/future, which contain many evaluations or other subjective elements (*Here is that small blue bird again. It must be a kingfisher*), are prototypically connected by epistemic or argumentative relations (see Connectives in Text and Evaluation in Text). This correlation, in turn, should be studied in connection with issues like perspective and subjectivity (Sanders and Redeker, 1996; Pander Maat and Sanders, 2001).

A second obvious issue is the relationship between the principles of relational and referential coherence. Clearly, the two types of principles both provide language users with signals during text interpretation. These signals are taken as instructions for how to construct coherence. Therefore, the principles will operate in parallel, and they will influence each other. The question is: How do they interact? Consider a simple example.

- (9) John congratulated Pete on his excellent play.
He had scored a goal.
He scored a goal.

At least two factors are relevant for the solution of the anaphor *he* in (a/b): the aspect of the sentence, and the possible coherence relations that can be inferred between sentences. Part (9a) has perfect tense, and at the discourse level, the interpretation of one coherence relation is obvious - namely the backward causal relation 'consequence-cause.' The tense of (9b) is imperfect, and at the discourse level several coherence relations can exist, including 'temporal sequence' (of events) and 'enumeration/list' (of events in the game). Hence, the resolution of the anaphor-antecedent relation seems to be related to these two factors. In (9a) *he* must refer to Pete; in (9b), both antecedents are possible: John or Pete. How do aspect and the coherence relation interact in the process of anaphor resolution? And: Is the anaphor

resolved as a consequence of the interpretation of the coherence relation? Questions like these were already addressed in the seminal work of Hobbs (1979) and recently taken up again in a challenging way by Kehler (2002). Text analysis of natural texts has a large role to play here: How often do ambiguities like these actually show up in text? What are the heuristics apparently used by language users?

A third issue is the further characterization of genres and text types in terms of their text structure. Genre and text type are both frequently used concepts (*see* Genre and Genre Analysis) that are often not defined in articulate text-internal characteristics (see Virtanen, 1992). Now that text-analytic models like RST are available and the theory of different types of coherence relations has matured, it is high time that structural analysis of real-life corpus texts show whether text types differ systematically in their text structure. In a first corpus study (Sanders, 1997), such a correlation was indeed found. ‘Informative texts’ (in which the writer’s goal is to inform the reader about something) were compared to ‘expressive texts’ (in which the writer’s goal is to express his or her feelings and attitudes) and ‘persuasive texts’ (in which the writer’s goal is to persuade the reader of something). It was shown that persuasive texts were indeed dominated by more subjective relations, used by the writer to put forward the argument, whereas encyclopedic texts were shown to be informative because their structure was dominated by more objective relations, in which the writer simply described the content area. The realization of this type of text-analytic work on a larger scale would make notions of text type more concrete, but it also provides an example of the way in which text structural characteristics could be operationalized for the further study of language use, on a par with many stylistic text characteristics.

A fourth and final issue concerns the role of text analysis in text evaluation and document design. Many teachers believe that the best and the worst essays written in class differ in organization. The best one is structured clearly, whereas the worst one is hard to follow. Traditionally, there are few results from research to underpin observations like these. However, this situation has recently improved. For instance, children’s explanatory texts showing continuity might be judged better than texts that show discontinuities (Sanders and van Wijk, 1996; van Wijk and Sanders, 1999). There are at least two cognitive reasons to link structure and judgments about text quality: texts are easier to understand without such discontinuities, and discontinuities often point to a lack of text planning during writing (Sanders and Schilperoord, 2005).

The use of text analysis in document design is particularly promising because it not only appears valuable in the study of ‘classical’ text structure, but it is also a useful basis to investigate the matching of text structure, content, and layout, including visual images (Delin and Bateman, 2002). This type of work shows the way to the text analysis of the 21st century: that of multimodal documents.

Basic notions (Chapter I from Introduction to Text Linguistics)

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<http://www.beaugrande.com/Intro1981Five.htm>

Here are six language samples that appear to be alike in some ways and different in others:

[1] SLOW

CHILDREN

AT PLAY

[2] The King was in the counting house, counting all his money;

The Queen was in the parlour, eating bread and honey;

The Maid was in the garden, hanging out the clothes;

Along came a blackbird and pecked off her nose.

[3] Twenty-year-old Willie B. is a diehard TV addict. He hates news and talk shows, but he loves football and gets so excited over food commercials that he sometimes charges at the set, waving a fist. Says a friend: "He's like a little child."

Willie B. is a 450-lb gorilla at the Atlanta Zoo. In December a Tennessee TV dealer heard about Willie B.'s lonely life as the zoo's only gorilla and gave him a TV set.

[4] A great black and yellow V-2 rocket 46 feet long stood in a New Mexico desert. Empty it weighed five tons. For fuel it carried eight tons of alcohol and liquid oxygen.

Everything was ready. Scientists and generals withdrew to some distance and crouched behind earth mounds. Two red flares rose as a signal to fire the rocket.

With a great roar and burst of flame the giant rocket rose slowly and then faster and faster. Behind it trailed sixty feet of yellow flame. Soon the flame looked like a yellow star. In a few seconds it was too high to be seen, but radar tracked it as it sped upward to 3,000 mph.

A few minutes after it was fired, the pilot of a watching plane saw it return at a speed of 2,400 mph and plunge into earth forty miles from the starting point.

[5] heffalump: (gloatingly): Ho-ho!

piglet (carelessly): Tra-la-la, tra-la-la.

heffalump (surprised, and not quite so sure of himself): Ho-ho!

piglet (more carelessly still): Tiddle-um-tum, tiddle-um-tum.

heffalump (beginning to say 'Ho-ho' and turning it awkwardly into a cough)
H'r'm What's all this?

piglet (surprised): Hallo! This is a trap I've made, and I'm waiting for the Heffalump to fall into it.

heffalump (greatly disappointed): Oh! (After a long silence): Are you sure?

piglet: Yes.

heffalump: Oh! (nervously): I—I thought it was a trap I'd made to catch piglets.

piglet (surprised): Oh, no!

heffalump: Oh! (apologetically): I—I must have got it wrong, then.

piglet: I'm afraid so. (politely): I'm sorry. (He goes on humming.)

heffalump: Well —Well—I— Well. I suppose I'd better be getting back?

piglet: (looking up carelessly): Must you? Well, if you see Christopher Robin anywhere, you might tell him I want him.

heffalump (eager to please): Certainly! Certainly! (He hurries off.)

[6] GHOSTS

Those houses haunt in which we leave
Something undone. It is not those
Great words or silences of love
That spread their echoes through a place
And fill the locked-up unbreathed gloom.
Ghosts do not haunt with any face
That we have known; they only come
With arrogance to thrust at us
Our own omissions in a room.
The words we would not speak they use,
The deeds we dared not act they flaunt,
Our nervous silences they bruise;
It is our helplessness they choose
And our refusals that they haunt.

2. These are all instances of English texts being used in discourse. The different ways these texts can be used indicates that they belong to different text types: [1] road sign, [2] nursery rhyme, [3] news article, [4] science textbook, [5] conversation between two participants taking turns, and [6] poem. It seems reasonable to require that a science of texts should be able to describe or explain both the shared features and the distinctions among these texts or text types. We ought to find out what standards texts must fulfil, how they might be produced or received, what people are using them for in a given setting of occurrence, and so forth. The words and sentences on the page are reliable clues, but they cannot be the total picture. The more pressing question is how the texts function in human interaction.

3. A text will be defined as a communicative occurrence which meets seven standards of textuality. If any of these standards is not considered to have been satisfied, the text will not be communicative. Hence, non-communicative texts are treated as non-texts (cf. III.8). We shall outline the seven standards informally in this chapter and then devote individual chapters to them later on.

4. The first standard will be called cohesion and concerns the ways in which the components of the surface text, i.e. the actual words we hear or see, 2 are mutually connected within a sequence. The surface components depend upon each other according to grammatical forms and conventions, such that cohesion rests upon grammatical dependencies. As linguists have often pointed out, surface sequences of English cannot be radically rearranged without causing disturbances. We would not, for instance, get very far by converting sample [1] into this order:

[1a] Children play slow at

and requesting the traffic authorities to use it on road signs. The series is so disjointed that drivers could hardly tell what goes with what. Obviously, the grammatical dependencies in the surface text are major signals for sorting out meanings and uses. All of the functions which can be used to signal relations among surface elements are included under our notion of cohesion.³

5. Notice that our original sample

[1] SLOW
CHILDREN
AT PLAY

might be divided up into various dependencies. Someone might conceivably construe it as a notice about ‘slow children’ who are ‘at play’,⁴ so that unflattering conclusions could be drawn about the children’s intelligence or physical fitness. But the more likely reaction would be to divide the text into ‘slow’ and ‘children at play’, and suppose that drivers should reduce speed to avoid endangering the playing children. A science of texts should explain how ambiguities like this one are possible on the surface, but also how people preclude or resolve most ambiguities without difficulty. The surface is, as we see, not decisive by itself; there must be interaction between cohesion and the other standards of textuality to make communication efficient (cf. III.4).

6. The second standard will be called coherence and concerns the ways in which the components of the textual world, i.e., the configuration of concepts and relations which underlie the surface text, are mutually accessible and relevant.⁵ A concept is definable as a configuration of knowledge (cognitive content) which can be recov-

ered or activated with more or less unity and consistency in the mind (cf. V.4ff.) relations are the links between concepts which appear together in a textual world: each link would bear a designation of the concept it connects to. For example, in ‘children at play’, ‘children’ is an object concept and ‘play’ an action concept, and the relation “agent-of” obtains, because the children are the agents of the action (cf. V.26(b)). Sometimes, though not always, the relations are not made explicit in the text, that is, they are not activated directly by expressions of the surface (cf. V.4). People will supply as many relations as are needed to make sense out of the text as it stands. In the road sign [1], ‘slow’ makes better sense as the “quantity of motion” which a text receiver should assume than as an attribute” of the children themselves.

7. Coherence can be illustrated particularly well by a group of relations subsumed under causality.⁶ These relations concern the ways in which one situation or event affects the conditions for some other one. In a sample such as:

[7] Jack fell down and broke his crown.

the event of ‘falling down’ is the cause of the event of ‘breaking’, since it created the necessary conditions for the latter. A weaker type of causality applies to this sample:

[8] The Queen of Hearts, she made some tarts,
All on a summer’s day.
The Knave of Hearts, he stole those tarts,
And took them quite away.

Here, the Queen’s action created the sufficient, but not necessary conditions for the Knave’s action (made it possible, but not obligatory); this relation can be termed enablement.

8. These conceptual relations do not cover all kinds of causality. In a sample such as:

[9] Jack shall have but a penny a day
Because he can’t work any faster

the low pay is not actually caused or enabled by the slow working, but is nonetheless a reasonable and predictable outcome. The term reason can be used for the relation where an action follows as a rational response to some previous event. In contrast, Jack’s ‘breaking his crown’ was independently necessary (we could not ask: “What made him feel like doing that?”) (cf. Wilks 1977b: 235f.)

9. Cause, enablement, and reason cannot capture the relation at stake here:

[10] Old Mother Hubbard went to the cupboard to get her poor dog a bone.

Mother Hubbard’s first action does enable the second, but there is an important difference between samples [8] and [10]: the agent’s plan is involved in [10], while

the Queen did not do her baking for the sake of allowing a theft. The term purpose can be used for an event or situation which is planned to become possible via a previous event or situation.

10. Another way of looking at events or situations is their arrangement in time. Cause, enablement, and reason have forward directionality, that is, the earlier event or situation causes, enables, or provides the reason for the later one. Purpose has backward directionality, that is, the later event or situation is the purpose for the earlier one. Time relations can be very intricate, depending on the organization of the particular events or situations mentioned. Where sample [10] goes on to say:

[11] When she got there, the cupboard was bare.

our knowledge of the world tells us that the ‘getting there’ action was later than that of ‘going to the cupboard’ (being the terminal boundary of the latter), but happened at the same time as the situation of the ‘cupboard being bare’. The relation of temporal proximity can be specified in many ways, according to the boundaries of events.⁷

11. We reserve the discussion of other coherence relations for section V. 25ff. We would only point out here that we have already moved somewhat beyond the text as it is actually made manifest in sound or print. Coherence is clearly not a mere feature of texts, but rather the outcome of cognitive processes among text users. The simple juxtaposition of events and situations in a text will activate operations which recover or create coherence relations. We can notice that effect in this sample:

[12] The King was in the counting house, counting all his money;
The Queen was in the parlour, eating bread and honey;
The Maid was in the garden, hanging out the clothes;

In the explicit text, there is a set of actions (‘counting’, ‘eating’, ‘hanging out’); the only relations presented are the location, the agent, and the affected entity of each action (on these terms, cf. V.26ff.). Yet simply by virtue of the textual configuration, a text receiver is likely to assume that the action is in each case the purpose of being at that location; that the locations are proximate to each other, probably in or near the royal palace; and even that the actions are proximate in time. One might well go on to assume that the actions are intended to signal the attributes of the agents (e.g. the King being avaricious, the Queen gluttonous, the Maid industrious). The adding of one’s own knowledge to bring a textual world together is called inferencing (cf. V. 32ff.)

12. Coherence already illustrates the nature of a science of texts as human activities. A text does not make sense by itself, but rather by the interaction of text-presented

knowledge with people's stored knowledge of the world (cf. Petöfi 1974; IX.24-40). It follows that text linguists must cooperate with cognitive psychologists to explore even such a basic matter as the "sense" of a text. We also see that theories and methods will have to be probabilistic rather than deterministic, that is, they will state what is usually the case rather than always. Different users might set up slightly different senses; yet there will be a common core of probable operations and content consistently found among most users, so that the notion "sense of a text" is not unduly unstable (cf. V.1).

13. Cohesion and coherence are text-centred notions, designating operations directed at the text materials. In addition, we shall require user-centred notions which are brought to bear on the activity of textual communication at large, both by producers and by receivers. The third standard of textuality could then be called intentionality, concerning the text producer's attitude that the set of occurrences should constitute a cohesive and coherent text instrumental in fulfilling the producer's intentions, e.g. to distribute knowledge or to attain a goal specified in a plan.⁹ To some degree, cohesion and coherence could themselves be regarded as operational goals without whose attainment other discourse goals may be blocked. However, text users normally exercise tolerance towards products whose conditions of occurrence make it hard to uphold cohesion and coherence altogether (cf. VI.2ff.), notably in casual conversation. A hybrid structure such as this (documented in Coulthard 1977: 72):

[12] Well where do which part of town do you live?

did not disturb communication because it still served the superior goal of finding out someone's address, although the subordinate goal of maintaining cohesion did not fully succeed. But if a text producer intended to defy cohesion and coherence, communication would be slowed down for negotiation (cf. IX.1s ff.) and could break down altogether.

14. The fourth standard of textuality would be acceptability, concerning the text receiver's attitude that the set of occurrences should constitute a cohesive and coherent text having some use or relevance for the receiver, e.g. to acquire knowledge or provide co-operation in a plan.¹⁰ This attitude is responsive to such factors as text type, social or cultural setting, and the desirability of goals. Here also, we could view the maintenance of cohesion and coherence by the text receiver as a goal of its own, such that material would be supplied or disturbances tolerated as required. The operation of inferencing, mentioned in I.11 strikingly illustrates how receivers support coherence by making their own contributions to the sense of the text.

15. If acceptability is restricted, communication can be diverted. It is accordingly taken as a signal of non-cooperation if a text receiver raises questions about acceptability when the text producer's intentionality is obviously in effect (Dickens 1836-37: 774).

[13] “What we require, sir, is a probe of this here.” “Probate, my dear sir, probate,” said Pell. “Well, sir,” replied Mr. Weller sharply, “probe and probe it is very much the same; if you don’t understand what I mean, sir, I daresay I can find them as does.” “No offence, I hope, Mr. Weller,” said Pell meekly.

16. Text producers often speculate on the receivers’ attitude of acceptability and present texts that require important contributions in order to make sense. The Bell Telephone Company warns people:

[14] Call us before you dig. You may not be able to afterwards.

People are left to infer that digging without asking might lead to cutting off a ground cable and hence to losing the wiring needed in order to call; or even, to sustaining bodily injury and being incapacitated. It is intriguing that [14] is more effective than a version would be that made everything more explicit (in the sense of 1.6), such as:

[14] a Call us before you dig. There might be an underground cable. If you break the cable, you won’t have phone service, and you may get a severe electric shock. Then you won’t be able to call us.

Apparently, text receivers are readily persuaded by content they must supply on their own: it is as if they were making the assertion themselves (cf. VII-28, 42; VIII.20). Sample [14] is more informative than sample [14a], a factor which constitutes the next standard of textuality.

17. The fifth standard of textuality is called informativity and concerns the extent to which the occurrences of the presented text are expected vs. unexpected or known vs. unknown/certain.¹² In sample [14], the assertion that ‘you will not be able to call’ is much more unexpected than it is in [14]a. The processing of highly informative occurrences is more demanding than otherwise, but correspondingly more interesting as well. Caution must be exercised lest the receivers’ processing become overloaded to the point of endangering communication.

18. Every text is at least somewhat informative: no matter how predictable form and content may be, there will always be a few variable occurrences that cannot be entirely foreseen. Particularly low informativity is likely to be disturbing, causing boredom or even rejection of the text. The opening stretch of a science textbook runs like this:¹³

[15] The sea is water

The fact asserted here is so well known to everyone that there seems to be no point in saying it here. The stretch of text is clearly cohesive and coherent, and undoubtedly intended to be acceptable as such. But it is nonetheless a marginal text because it is so uninformative. Not until we look at the continuation does the text’s status seem more sound:

[15a] The sea is water only in the sense that water is the dominant substance present. Actually, it is a solution of gases and salts in addition to vast numbers of living organisms ...

The assertion of the obvious fact in [15] functions as a starting point for asserting something more informative. The surface cue ‘actually’ signals that the well-known “substance-of” relation (cf. V.26(1)) is not strictly accurate. The ensuing correction of a common view is less expected, so that the informativity of the whole passage is upgraded (cf. VII.16).

19. The sixth standard of textuality can be designated situationality and concerns the factors which make a text relevant to a situation of occurrence.¹⁴ We saw in I.5 that one might treat the road sign

[1] SLOW
CHILDREN
AT PLAY

in different ways, but that the most probable intended use was obvious. The ease with which people can decide such an issue is due to the influence of the situation where the text is presented. In the case of sample [1], the sign is placed in a location where a certain class of receivers, namely motorists, are likely to be asked for a particular action. It is far more reasonable to assume that ‘slow’ is a request to reduce speed rather than an announcement of the children’s mental or physical deficiencies. Pedestrians can tell that the text is not relevant for themselves because their speeds would not endanger anyone. In this manner, the sense and use of the text are decided via the situation.

20. Situationality even affects the means of cohesion. On the one hand, a text version such as:

[1b] Motorists should proceed slowly, because children are playing in the vicinity and might run out into the street. Vehicles can stop more readily if they are moving slowly.

would remove every possible doubt about sense, use, and group of intended receivers. On the other hand, it would not be appropriate to a situation where receivers have only limited time and attention to devote to signs among the other occurrences of moving traffic. That consideration forces the text producer toward a maximum of economy; situationality works so strongly that the minimal version [1] is more appropriate than the clearer [1b] (cf. I.23).

21. The seventh standard of textuality is to be called intertextuality and concerns the factors which make the utilization of one text dependent upon knowledge of one or more previously encountered texts. A driver who has seen road sign [1] is likely to see another sign further down the road, such as:

[16] RESUME SPEED

One cannot ‘resume’ something unless one was doing it at an earlier time and then stopped it for some reason. The ‘speed’ at stake here can only be the one maintained until [1] was encountered and a reduction was made. Clearly, the sense and relevance of [16] depends upon knowing about [1] and applying the content to the evolving situation.

22. Intertextuality is, in a general fashion, responsible for the evolution of text types as classes of texts with typical patterns of characteristics (cf. IX.1ff.). Within a particular type, reliance on intertextuality may be more or less prominent. In types like parodies, critical reviews, rebuttals, or reports, the text producer must consult the prior text continually, and text receivers will usually need some familiarity with the latter. An advertisement appeared in magazines some years ago showing a petulant young man saying to someone outside the picture:

[17] As long as you’re up, get me a Grant’s.

A professor working on a research project cut the text out of a magazine, altered it slightly, and displayed it on his office door as:

[17a] As long as you’re up, get me a Grant.

In the original setting, [17] was a request to be given a beverage of a particular brand. In the new setting, [17a] seems to be pointless: research grants are awarded only after extensive preparation and certainly can’t be gotten while casually walking across a room. The discrepancy is resolvable via one’s knowledge of the originally presented text and its intention, while the unexpectedness of the new version renders it informative and interesting (cf. I.17). This interest effect offsets the lack of immediate situational relevance and the nonserious intention of the new text presenter.

23. We have now glanced at all seven standards of textuality: cohesion (1.4-5), coherence (1.6-12), intentionality (I.13), acceptability (I.14-16), informativity (I.17-18), situationality (I.19-20), and intertextuality (I.22-22). These standards function as constitutive principles (after Searle 1969: 33f.) of textual communication: they define and create the form of behaviour identifiable as textual communicating, and if they are defied, that form of behaviour will break down. There must also exist regulative principles (again following Searle) that control textual communication rather than define it. We envision at least three regulative principles. The efficiency of a text depends on its use in communicating with a minimum expenditure of effort by the participants. The effectiveness of a text depends on its leaving a strong impression and creating favourable conditions for attaining a goal. The appropriateness of a text is the agreement between its setting and the ways in which the standards of textuality are upheld. 16

24. It will be our task in this book to pursue both the constitutive and the regulative principles of textual communication. We shall present some topics loosely grouped under each of the seven standards in turn. At the same time, we shall be concerned with illustrating how the constitution and use of texts are controlled by the principles of efficiency, effectiveness, and appropriateness. Not surprisingly, our discussion will lead us into some domains outside the confines of usual linguistics, simply because of the different concerns we raise. In particular, we shall be obliged to rely on considerable research in other disciplines, notably cognitive science, a new field at the crossroads of linguistics, psychology, and computer science (cf. X.3 and, on artificial intelligence, X. 26ff.). The standards of textuality alone entail, as we have seen, factors of cognition, planning, and social environment merely to distinguish what constitutes a text. Still, it is perhaps not unduly optimistic to hope that the broad outlines we shall undertake to sketch are gradually being filled in by the concerted interaction of researchers sharing a commitment to the study of language use as a crucial human activity.

Cohesion and Coherence: Linguistic Approaches

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Discourse is more than a random set of utterances: it shows connectedness. A central objective of linguists working on the discourse level is to characterize this connectedness. Linguists have traditionally approached this problem by looking at overt linguistic elements and structures. In their famous *Cohesion in English*, Halliday and Hasan (1976) describe text connectedness in terms of reference, substitution, ellipsis, conjunction, and lexical cohesion. According to Halliday and Hasan (1976: 13), these explicit clues make a text a text. Cohesion occurs “when the interpretation of some element in the discourse is dependent on that of another” (Halliday and Hasan, 1976: 4). The following types of cohesion are distinguished.

•*Reference*: two linguistic elements are related in what they refer to.

Jan lives near the park. He often goes there.

•*Substitution*: a linguistic element is not repeated but is replaced by a substitution item.

Daan loves strawberry ice-creams. He has one every day.

•*Ellipsis*: one of the identical linguistic elements is omitted.

All the children had an ice-cream today. Eva chose strawberry. Arthur had orange and Willem too.

•*Conjunction*: a semantic relation is explicitly marked.

Eva walked into town, *because* she wanted an icecream.

•*Lexical cohesion*: two elements share a lexical field (*collocation*).

Why does this little *boy wriggle* all the time? *Girls* don't *wriggle* (Halliday and Hasan, 1976: 285).

It was *hot*. Daan was lining up for an *ice-cream*.

While lexical cohesion is obviously achieved by the selection of vocabulary, the other types of cohesion are considered as grammatical cohesion. The notion of lexical cohesion might need some further explanation. Collocation is the most problematic part of lexical cohesion (Halliday and Hasan, 1976: 284). The analysis of the first example of lexical cohesion above would be that *girls* and *boys* have a relationship of complementarity and are therefore related by lexical cohesion. The basis of lexical cohesion is in fact extended to any pair of lexical items that stand next to each other in some recognizable lexicosemantic relation. Let us now consider the second example of lexical cohesion mentioned above. Do *hot weather* and *ice-cream* belong to the same lexical field? Do they share a lexicosemantic relationship? If we want to account for the connectedness in this example, we would have to assume that such a shared lexicosemantic relationship holds, since the other forms of cohesion do not hold. The clearest cases of lexical cohesion are those in which a lexical item is replaced by another item that is systematically related to the first one. The class of general noun, for instance, is a small set of nouns having generalized reference within the major noun classes, such as 'human noun': *people, person, man, woman, child, boy, girl*. Cohesion achieved by anaphoric reference items like *the man* or *the girl* is very similar to cohesion achieved by reference with pronouns like *he* or *she*, although Halliday and Hasan (1976: 276) state explicitly what the difference is: "the form with general noun, *the man*, opens up another possibility, that of introducing an interpersonal element into the meaning, which is absent in the case of the personal pronoun." This interesting observation points forward to similar observations formulated in theories developed much later, as in *Accessibility Theory* (Ariel, 1990) and *Mental Space Theory* (Fauconnier, 1994; Fauconnier and Sweetser, 1996; Sanders and Redeker, 1996). This is only one example in which *Cohesion in English* shows itself to be a seminal work, in some respects ahead of its time.

After the publication of *cohesion in English*, the notion of cohesion was widely accepted as a tool for the analysis of text beyond the sentence level. It was used to characterize text structure, but also to study language development and written composition (Lintermann-Rygh, 1985). Martin's *English text* (1992) is a more recent elaboration of the cohesion work. It also starts from a systemic functional approach to language and claims to provide a comprehensive set of discourse analyses for any English text.

Useful and seminal as the cohesion approach may be, there seem to be some principled problems with it. For instance, the notion of lexical cohesion is hard to define. The intuition that ‘hot weather’ and ‘icecream’ belong to the same lexical field may be shared by many people in modern Western culture, but now consider example (1).

(1) The winter of 1963 was very cold. Many barn owls died.

Here it is much harder to imagine that ‘cold winters’ and ‘barn owls,’ or even ‘dying barn owls,’ should be related by a lexical field. Still, relating these items is necessary to account for the connectedness in (1). This problem is hardly solved by Halliday and Hasan’s (1976: 290) advice “to use common sense, combined with the knowledge that we have, as speakers of a language, of the nature and structure of its vocabulary.” Examples like (1) constitute a major problem for a cohesion approach: this short text presents no interpretation difficulties whatsoever, but there is no overt linguistic signal either. This suggests that cohesion is not a necessary condition for connectedness. Such a conclusion is corroborated by cases like (2), from a Dutch electronic newspaper (Sanders and Spooren, in press), to which we added the segment-indices (a) and (b).

(2a) Greenpeace heeft in het Zuid-Duitse Beieren een
nucleair transport verstoord.

(2b) Demonstranten ketenden zich vast aan de rails.

(*Telegraaf-i*, April 10, 2001)

(2a) ‘Greenpeace has impeded a nuclear
transportation in the Southern German state Bayem.’

(2b) ‘Demonstrators chained themselves to the rails.’

This short electronic news item does not create any interpretative difficulties. However, in order to understand the fragment correctly, a massive amount of inferring has to take place. For instance, we need to infer that the nuclear transportation was not disturbed by the *organization* Greenpeace, but by members of that organization; that the protesters are members of the organization; that the nuclear transportation took place by train, etc. Some of these inferences are based on world knowledge, for instance that organizations consist of people and that people, but not organizations, can carry out actions like the one described here. Others are based on discourse structural characteristics. One example is the phrase *the rails*. This definite noun phrase suggests that its referent is given in some way. But because there is no explicit candidate antecedent, the reader is invited to link it up with *transportation*, the most plausible interpretation being that the transportation takes place by a vehicle on rails, i.e., a train.

It is clear by now that the cohesion approach to connectedness is inadequate. Instead, the dominant view has come to be that the connectedness of discourse is a characteristic of the mental representation of the text rather than of the text itself. The connectedness thus conceived is often called *coherence* (see *Coherence: Psycholinguistic Approach*). Language users establish coherence by actively relating the different information units in the text.

Generally speaking, there are two respects in which texts can cohere:

1. *Referential coherence*: smaller linguistic units (often nominal groups) may relate to the same mental referent (see **Discourse Anaphora**);

2. *Relational coherence*: text segments (most often conceived of as clauses) are connected by coherence relations like Cause-Consequence between them (see **Clause Relations**).

Although there is a principled difference between the cohesion and the coherence approaches to discourse, the two are more related than one might think. We need to realize that coherence phenomena may be of a cognitive nature, but that their reconstruction is often based on linguistic signals in the text itself. Both coherence phenomena under consideration - referential and relational coherence - have clear linguistic indicators that can be taken as processing instructions. For referential coherence these are devices such as pronouns and demonstratives, and for relational coherence these are connectives and (other) lexical markers of relations, such as cue phrases and signaling phrases. A major research issue is the relation between the linguistic surface code (what Givon, 1995, calls 'grammar as a processing instructor') and aspects of the discourse representation.

In the domain of referential coherence, this relation can be illustrated by the finding that different referential devices correspond to different degrees of activation for the referent in question. For instance, a discourse topic may be referred to quite elaborately in the first sentence but once the referent has been identified, pronominal forms suffice. This is not a coincidence. Many linguists have noted this regularity (e.g., Ariel, 1990; Givon, 1992; Chafe, 1994). Ariel (1990, 2001), for instance, has argued that this type of pattern in grammatical coding should be understood to guide processing. In her *accessibility theory*, 'high accessibility markers' use little linguistic material and signal the default choice of continued activation. By contrast, 'low accessibility markers' contain more linguistic material and signal the introduction of a new referent (see *Accessibility Theory*).

We now turn to (signals of) *relational coherence*. *Coherence relations* taken into account for the connectedness in readers' cognitive text representation (cf. Hobbs, 1979; Sanders *et al.*, 1992). They are also termed *rhetorical relations* (Mann and Thompson, 1986, 1988, 1992) or *clause relations*, which constitute *discourse patterns* at a higher text level (Hoey, 1983; see *Problem-Solution Patterns*). Coherence

relations are meaning relations connecting two text segments. A defining characteristic for these relations is that the interpretation of the related segments needs to provide more information than is provided by the sum of the segments taken in isolation. Examples are relations like Cause-Consequence, List, and Problem-Solution. These relations are conceptual and they can, but need not, be made explicit by linguistic markers, so-called connectives (*because, so, however, although*) and lexical cue phrases (*for that reason, as a result, on the other hand*) (see Connectives in Text). In the last decade, a significant part of research on coherence relations has focused on the question of how the many different sets of relations should be organized (Hovy, 1990; Knott and Dale, 1994). Sanders *et al.* (1992) have started to define the ‘relations among the relations,’ relying on the intuition that some coherence relations are more alike than others. For instance, the relations in (3), (4), and (5) all express (a certain type of) causality; they express relations of Cause-Consequence/Volitional result (3), Argument-Claim/Conclusion (4) and Speech Act Causality (5): ‘This is boring watching this stupid bird all the time. I propose we go home now!’ The relations expressed in (6) and (7), however, do not express causal, but rather additive relations. Furthermore, a negative relation is expressed in (6). All other examples express positive relations, and (7) expresses an enumeration relation.

(3) The buzzard was looking for prey. The bird was soaring in the air for hours.

(4) The bird has been soaring in the air for hours now. It must be a buzzard.

(5) The buzzard has been soaring in the air for hours now. Let’s finally go home!

(6) The buzzard was soaring in the air for hours. Yesterday we did not see it all day.

(7) The buzzard was soaring in the air for hours. There was a peregrine falcon in the area, too.

Sweetser (1990) introduced a distinction dominant in many existing classification proposals, namely that between content relations (also sometimes called ideational, external, or semantic relations), epistemic relations, and speech act relations. In the first type of relation, segments are related because of their propositional content, i.e., the locutionary meaning of the segments. They describe events that cohere in the world. If this distinction is applied to the set of examples above, the causal relation (3) is a content relation, whereas (4) is an epistemic relation, and (5) a speech act relation. This systematic difference between types of relation has been noted by many students of discourse coherence (see Connectives in Text). Still, there is a lively debate about whether this distinction should be conceived of in terms of domains, or rather in terms of subjectivity; often, semantic differences between connectives are used as linguistic evidence for proposals [see contributions

to special issues and edited volumes like Spooren and Risselada (1997); Risselada and Spooren (1998); Sanders, Schilperoord and Spooren (2001); and Knott, Sanders and Oberlander (2001); further see Pander Maat (1999)]. Others have argued that coherence is a multilevel phenomenon, so that two segments may be simultaneously related on different levels (Moore and Pollack, 1992; Bateman and Rondhuis, 1997); see Sanders and Spooren (1999) for discussion.

So far, we have discussed connectedness as it occurs in both spoken/dialogical discourse and written/ monological text. However, the connectedness of spoken discourse is established by many other means than the ones discussed so far. Aspects of discourse structure that are specific to spoken language include the occurrence of *adjacency pairs*, i.e., minimal pairs like *Question-Answer* and *Summons-Response* (Sacks, Schegloff and Jefferson, 1974), and prosody. These topics are subject to ongoing investigations (see especially Ford, Fox and Thompson, 2001) that we consider important because they relate linguistic subdisciplines like grammar and the study of conversation.

In addition, it is clear that linguistic signals of coherence, such as connectives, have additional functions in conversations. For instance, connectives function to express *coherence relations* between segments, like *but* in example (8), which expresses a contrastive relation.

(8) The buzzard was soaring in the air for hours. But yesterday we did not see it all day.

In conversations, this use of connectives is also found, but at the same time, connectives frequently function as *sequential markers*: for instance, they signal the move from a digression back to the main line of the conversation or even signal turn-taking. In this type of use, connectives are often referred to as *discourse markers* (Schiffrin, 2001) (see Particles in Spoken Discourse).

In sum, we have discussed the principled difference between two answers to the question ‘how to account for connectedness of text and discourse?’ We have seen that, while cohesion seeks the answer in overt textual signals, a coherence approach considers connectedness to be of a cognitive nature. A coherence approach opens the way to a fruitful interaction between text linguistics, discourse psychology, and cognitive science, but at the same does not neglect the attention for linguistic detail characterizing the cohesion approach. The coherence paradigm is dominant in most recent work on the structure and the processing of discourse (see, among many others, Hobbs, 1990; Garnham and Oakhill, 1992; Sanders, Spooren and Noordman, 1992; Gernsbacher and Givon, 1995; Noordman and Vonk, 1997; Kintsch, 1998; Kehler, 2002). In our view it is this type of paradigm, located at the intersection of linguistics and discourse-processing research, that will lead to significant progress in the field of discourse studies.

Interpretation: Theory

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The problem of interpretation has long been at the center of numerous disciplines: hermeneutics, philosophy of language, literary criticism, psychoanalysis, anthropology, philology, to name but a few. In each of these contexts, the term 'interpretation' obviously assumes different meanings; it may mean to attribute sense to a text through a close reading (in a reader-oriented literary criticism, for example), to bring about a fusion of horizons between the author and the reader of a text, through a philosophical pre-comprehension of the Sense (in a hermeneutical perspective), to reconstruct reasons and anticipations of neurotic symptoms (in psychoanalysis), or to trace the palimpsest of a certain term through its linguistic occurrences (in the field of philology). It may therefore be an act of 'decodification,' 'reconstruction,' 'verification,' or 'listening,' where the subject-object relationship assumes different forms of balance.

The category of interpretation has, however, always contributed to 'define' semiotics as a discipline. If, in fact, this is the science of signs - the discipline that deals with the processes of signification - then it is clear that it cannot prescind from the necessary and implicit work of 'decodifying' those signs, reading them and thus using them. After all, if we look at the origins of semiotics, we can see that its antecedents are indeed to be found in two highly interpretative activities and forms of knowledge: divination and medicine, whose very purpose was to succeed in correctly interpreting signs having no immediate significance, through symptoms, hints, and its own previous competences.

Again in ancient times, Aristotle defined the sign as a relationship of logical 'implication,' therefore as an 'interpretative' relationship: if q, then p (meaning: if smoke, therefore fire; meaning: smoke is a sign of fire). The Stoics considered the sign (*lektbn*) a proposition, as such, deriving from a judgment (that is, already a form of interpretation) and destined to be inserted into implicative kinds of logical forms. A few centuries later, Augustine, in the *De Magistro*, claimed that it is up to the human mind (therefore, an interpretative instance) to return words to the things of which they were signs, because the relationship between words and things is not of mere correspondence, or co-belonging (according to the theory of language defined 'cratilea' - from the Platonic dialogue *Cratilo*), but a relationship 'mediated' by the sign, and as such, to be interpreted.

These brief references to the archaeology of the concept of 'interpretation' are merely to hint as to how sign and interpretation have, from the origins of semiotics, been co-implicated and reciprocally defined.

Interpreting, however, is not just a decoding process that every act of reading and communicating involves; it is - not only from a hermeneutical but also a philo-

sophical perspective - a dimension present at all levels of semiotic activity (from the perceptive one to the cognitive) that therefore defines man as rational being.

C. S. Peirce, in particular, has characterized in a highly interpretative sense his whole theory of knowledge and his theory of semiotics, recognizing an interpretative component even at the lowest levels of the cognitive elaboration - that is, on a perceptive and, even earlier, on an emotional level. In fact, whenever there is the definition of a predicate, according to Peirce there is 'inference,' that is, reasoning. Reasoning is never an ideal contemplation or intuitive knowledge or automatic mental association; be it 'deductive reasoning' (where the result derives from the application of a rule to a single case), 'inductive reasoning' (where, by observing a case or a result, a rule is generalized despite there being no certainties or guarantees of completeness), or 'abductive reasoning' (where it is assumed that a certain phenomenon is the case of a possible rule, such as, when seeing a red rash on the skin we imagine it to be an allergic reaction, hypothesizing the rule whereby a certain intolerance generates a certain kind of irritation), every predication requires hypotheses and verifications, in comparing and passing from premise to conclusion. The structure of the inferences on which all reasoning is based is always tripartite as in every classic syllogism; it expects a case, a rule (which, as such, is already a sign), and a result. These three elements, depending on the reasoning produced, enter into different relationships but are always co-present; every state of conscienceness (so every thought but even, much sooner, every perception or emotion) is the result of the re-elaboration - and therefore the interpretation of the 'data' supplied by the two premises of the syllogism.

All reasoning is therefore inferential (because innate or intuitive knowledge does not exist) and even sensations (being at the origin of our cognitions) arise as a result of multiple impressions 'interpreted' according to preceding schemes, cognitions, and interpretative habits (including corporal ones). Our attention is invariably selective, submitting only portions of reality to our reasoning - portions in some respects pertinent, and so, in some way, pre-interpreted. The selected reality then produces an accumulation of sensations that, in turn, generate emotions that will be 'interpreted' by our conscienceness and transformed into descriptive judgments and assertions.

The process from attention to the emotions to reasoning mainly occurs according to patterns made recurrent both by our somatic constitution (which, for example, under normal perceptive conditions, will always make us associate the stimulus of a sudden, excessive luminosity with the reaction of closing our eyes) and by our former experiences, capitalized in cognitive and embodied forms of memory (the child 'learns' to stay away from fire). This is how 'habits' - interpretative habits - are formed, "when, being aware of carrying out a certain act m, on various cases a,b,c, we get to carry it out whenever the general event / occurs, where a,b,c, are special cases" (Peirce, C. P., 5: 297).

The forming of habits is typical not only of perceptive inferences but of all our semiotic activity, that is, of all our interpretative practice.

Interpretation is, in theory, never-ending, because every interpretant may become the object of a new sign, thereby setting off an open chain of interpretations, but these interpretations tend to converge in interpretative 'habits,' culturally conditioned and shared behavioral trends - the 'final-logical interpretants.'

Thus, the meaning of experiences (emotional, cognitive, and cultural) lies in the 'effects' they produce, just as the meaning of every single sign lies in the interpretants it generates. It is what is defined as a 'pragmatic maxim,' contrary to every universalistic abstraction and every theoretic imperialism. The meanings change continuously because they vary according to the effects they produce; there is a relationship of continuity between meaning, interpretation, and action.

Interpretation, therefore, proceeds inferentially, formulating hypotheses starting from clues and then elaborating predicates - definitions, explanations, and interpretative habits. Being in a process dimension which makes it run transversally from one stage to the next of the cognitive elaboration (e.g., from sensation to cognition) and from one level to the next of knowledge (from the individual to the collective), interpretation lives on 'transpositions.' According to Peirce's lesson, in fact, the moment it enters the circle of semiosis every object - being a physical impression or a highly complex and structured aesthetic text - gets explained and translated into an interpretant that will, in turn, be explained by another interpretant that will, in turn, find yet another definition, in a chain of transpositions that transform the interpretation into a process of continuous translation of one sign into another.

This 'translative' aspect of interpretation was particularly emphasized by Roman Jakobson, who explicitly quoted Peirce when he distinguished three kinds of translation (interlinguistic, intrasemiotic, and intersemiotic) in order to characterize human language. Hence Jakobson's idea of language and communication appears mobile and composite: significant practices are not univocal, definite forms of communication but a set of translative processes forever in fieri, where the concept of equivalence without residues (man = rational animal) is not sufficient. The signs, the texts, never have just one single meaning, one single interpretation, or one single translation - they can enter into many different translative and communicative processes that all together go to make up the space of 'intertextuality.'

The texts of a culture, therefore, never exist separately from each other, exclusively within the ambient where they were produced. As explained by Juri Lotman, they exist in a social, semantic, and pragmatic universe (the universe of culture) where they cross over, superimpose, and 'react' to each other and become modified. Indeed, to be informative, communication (be it individual or the communication of a certain culture with its internal subsystems or with other cultures) must always add something new as it proceeds - it has to introduce something extraneous, some-

thing untranslatable at first. Through small shocks - small 'explosive moments,' says Lotman - these extraneous components introduce moments of discontinuity into the system of a language or culture; destined to be re-absorbed, they will be interpreted and will, in turn, become foreseeable and therefore homogeneous.

The whole development of the culture (or semio-sphere) is therefore a succession of small perturbations and hypotheses used to explain and incorporate them. As Peirce claimed, from the cognitive point of view, semiosis occurs when a surprising, anomalous fact strikes our attention and obliges us to formulate hypotheses that permit us to explain it and include it in our cognitive system.

Semiosis and translation - the incessant production of meanings and the normalization of interpretative habits - interweave to make up the fabric of culture.

The continuity of meaning, interpretation, and translation is also the basis of Umberto Eco's semiotics. In fact, Eco introduces an interpretative component at the very heart of his conception of the sign. He does not, in fact, define the sign by a mere relationship of equivalence (man = rational animal) nor by the sum of essential defining traits (as in so-called dictionary semantics, where the sign 'man' is given by 'human,' 'mortal,' 'biped,' 'erect,' and so forth) but by an open structure with several defining traits and contextual marks that may or may not be activated according to the circumstances. The sign, therefore, never implies an automatic decodification but an interpretative process wherein some directions of sense and not others are activated, starting from a semantic potential.

Thus is defined an 'encyclopaedic' semiosis.

The category of 'encyclopaedia' is central for the interpretative semiotics of Umberto Eco; it indicates the set of representations in which the interpretative processes come into contact with the archive of knowledge that, according to Peirce's lesson, constitutes habits. Semiosis is a continual movement within the encyclopaedia, which constitutes its 'background' (as we said, every sign exists in a cultural context) and its continually unstructured 'product' (semiosis creates and changes the encyclopaedia through continual new interpretations of sense). The encyclopaedia of a culture (or of a subject belonging to a certain culture) can therefore never be described in an exhaustive way; it is always mutable, subjected to the pushes and pressures of the cultural context's evolution. As we said, it is not a dictionary made up of equivalences, but a network that can be crossed in different directions according to different interpretative paths. Within an encyclopaedic semantic model, the meanings are given not through decodification but through abduction; the subject interprets the sign 'in some respects' by reverting to other signs, highlighting certain aspects in the passage from one sign to another, from one point in the encyclopaedia to another.

The possible interpretative paths are therefore many and unpredictable; they vary from interpreter to interpreter, because the 'formation' of each individual's encyclopaedia - his knowledge - is different. Nevertheless, contrary to what is claimed by de-

construction, according to Eco, some 'limits of interpretation' do exist. The principle 'everything goes' is not valid. Signs never have just one possible interpretation but have some incorrect interpretations, some wrong senses. To paraphrase two titles by Eco: the work is open, but the interpretation has some limits.

For Eco, the relationship with a text is one of 'cooperation.' The text is a 'lazy machine' that never says everything. It always has an opaque component that the reader has to interpret, but this is just a strategy that directs the reader's interpretative moves, through a series of clues, suppositions, anaphoras. The reader has to collaborate in filling in the text's open gaps (the implicit, the suppositions), making interpretative hypotheses co-textually pertinent in relationship to the entire textual area and verifying the coherence.

Frame Analysis

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Through a systematic examination of texts, the methodology of frame analysis provides a content analysis of political documents that systematically analyzes their ideational contents and relational aspects. It aims to document features such as exchanges between political actors, their communication strategies, and changes over time. The use of the concepts of 'frame' and 'framing' clearly indicates a lineage with the work of Erving Goffman, who with this term referred to the textual conjunct function of concentrating attention on some aspects while excluding others. This emphasis on inclusion and exclusion mechanisms, on social controversies and the associated actors and processes, is widely utilized in political research - a scan of a database of political journal articles would for instance bring out well over a thousand references in recent years which use the framing metaphor. However, the framing analytical tradition in social movement research is the approach that since the early 1980s has most consistently attempted to systematize this approach. It has steadily grown in relevance as a useful tool for analyzing political texts and has expanded to other fields such as policy analysis, media studies and more generally various subfields in political sociology and political science.

The interest of social movement scholars in framing processes begins with the consideration that in order to achieve successful mobilization a set of cultural processes of definitions of the situation in terms that are conducive to political engagement and activation of a protest repertoire have to occur. In a society that is increasingly dependent on publicly mediated processes of formation, diffusion, and negotiation of cultural contents, the role of debating arenas becomes crucial. This refers to sectoral social and political arenas such as social movements, political parties, workplaces, and churches, but more importantly one has to emphasize the role of the general media as a debating space in which social issues are framed.

Framing theorists concentrate on the operating mechanisms of these arenas and examine topics such as the formation of mobilizing ideas, the responses of opponents, and the processes of redefinition that mobilizing ideas undergo under the influence of movement allies and institutional environments. The concept of frame refers, then, to a central organizing idea that defines for an audience what is important in a debate. Frames also generally specify the causes of a problematic situation and indicate solutions, and movement frames stress the importance of active individual engagement. They often also posit the existence of an injustice that needs to be remedied. Concepts frequently employed in this context are that of the ‘master frame,’ which refers to a global frame encompassing an entire cycle of protest, and of ‘frame packages,’ which refers to sets of ideas related to a movement frame but more limited and less stable over time, embodying the discursive strategic activities of organizational leaders dynamically reacting to social controversies.

The production of social meaning, and specifically the production of ideological and policy alternatives to tackle contested social issues, is seen as a process in which a set of actors engage strategically in a societal contest, arguing their points and redefining their position in response to changing events. Social movements face problems of access to debating arenas, problems of formation, unification, and mobilization of consensus within their ranks, and problems of presentation of their perspectives to outside audiences. Their goal is the formation of concerted alternatives to dominant positions on contested issues; that is, the formation of collective action frames. In addition, to achieve widespread social relevance, they have to align their message to aspects of the dominant perspectives, which are known by the public and approved by social institutions. These goals and the methods movements adopt to achieve them were discussed in some key articles by David Snow and Robert Benford in the mid- and late 1980s (Snow *et al.*, 1986; Snow and Benford, 1988). Also influential for this perspective was the early work on the media of William Gamson and his collaborators and the work of Bert Klandermans on the mechanisms that mediate the transformation of a sympathetic attitude towards movements’ perspectives into a willingness to engage in political struggle. Klandermans also focused on the difference between unplanned emergence of discourse, which joins the views of relevant social actors, and the planned and strategically orientated formation and diffusion of perspectives, intended to facilitate movements’ goals (Klandermans, 1984; Gamson and Modigliani, 1988; Klandermans, 1988; Gamson and Wolfsfeld, 1993).

Whilst there is obviously diversity within this tradition on how exactly to define frames and their mechanisms of operation, and on the important issues to be put on the research agenda, there is sufficient consensus on reasserting the role of culture and communication in social movement research, on stressing social-psychological and cognitive elements in the genesis of social movements and their impact, and in rejecting more comprehensive conceptions of ideology in favor of an approach

more conducive to an empirical treatment - a tendency that has recently been criticized (Oliver and Johnston, 2000).

A central assumption of this literature is that social movements do not merely passively present their ideas to the public and their own activists. They are engaged in processes of cultural construction of grievances, and in shaping public opinion, which are in turn influential on participant mobilization. This approach, which stresses the cognitive aspect of frame formation, was innovative when it emerged in social movement theory. The then dominant approaches to the study of social movements - the resource mobilization approach and the new social movements approach - either had little consideration for cultural factors or did not study them systematically, and did not have a methodology to specifically look at the impact of the media. Resource mobilization scholars had argued that grievances are pervasive in modern society. The analytical focus was on how they are adopted by social movements, and on the influential role attributed to political entrepreneurs in gathering and using resources. Conversely, new social movements scholars had related the emergence of social movements to the influence of specific grievances that are linked to various social, economic, and cultural changes, such as the generalized emergence of 'postindustrial' values. Neither of these approaches focused on the 'constructed' character of grievances. An alternative approach, which frame analysts have adopted, was to consider grievances as cultural constructs, and to examine the process of the emergence and construction of issues. As Gamson (1988: 219) noted, this process is highly controversial. Thus, collective action is first of all a search for a definition of the situation. Gamson notes that "for every challenge there is a relevant discourse, particular sets of ideas and symbols that are used in the process of constructing meanings relevant to the struggle." (Gamson, 1998: 223).

At the core of each definition there is a central organizing idea, or frame. To achieve generalized support, movements have to rearrange conventional prevailing frames on the topics of contention and stimulate a new consensus on the necessity of certain policy changes and the appropriateness of mobilization. For instance, in the study of the relation between movements and media Gamson and Wolfsfeld (1993) showed the power and dependency aspects of the relationship and at the same time the subtle contest over meaning that permeates the interaction between the two parties.

The modification of frames that movements undergo, either intentionally or as a result of broader cultural processes, has been described in terms of the concept of 'frame alignment.' This refers to mechanisms that connect a social movement frame to another societal frame. This connection can take the form of 'frame bridging' when two previously unconnected frames come to be discursively connected. 'Frame amplification' takes place when existing but underspecified frames are articulated and the favorable implications for a movement are emphasized. 'Frame extension' takes place when movements attempt to modify a frame in a direction that is congru-

ent with their views and ‘frame transformation’ when only a radical realignment of messages can connect a movement frame with public opinion. Through these categories it is possible to accomplish a set of theoretical objectives such as the integration of micro and macro variables and of cultural and structural variables. For instance, Zuo Jiping and Robert D. Benford connect broad cultural patterns to mobilization dynamics (Zuo and Benford, 1995). In their examination of the 1989 Chinese pro-democracy movement they focused on the relation between the ideas prevalent in the population and the attempt by movement activists to present their goals as congruent with these ideas. With reference to activists’ discourse, they note:

Their frame alignment strategies and non-violent direct action tactics tended to resonate with ordinary people’s observations and experiences as well as with traditional Chinese narratives of Confucianism, nationalism, and communism. State reactions and counter-framings, on the other hand, failed to sway the masses.

They then proceed to show that framing strategies were related to, though only a part of, a wider set of Structural strategies that included the mobilization of pre-existing student networks, the impact of economic reforms, regime crises, delayed repression, and the presence of foreign journalists.

In studying the relationship between framing processes and public opinion, special attention has been devoted to the role of the media. For instance, Gamson in *Talking Politics* examined the role of the media in shaping perceptions of certain key social controversies and in the same context investigated the role of social movements (Gamson, 1992).

Whilst much work on frame analysis such as this one has focused on the relationship between movement framing activities and public opinion, studies of the relationship between the themes stressed by movements and specific institutional environments have also appeared. This is particularly the case with policy environments, initially studied by Donald Schon and Martin Rein, who pointed to the socially constructed character of policy making - the fact that policy solutions emerge out of deliberative practices in which actors pursue their goals strategically utilizing the same mechanisms illustrated by social movement researchers (Schon and Rein, 1994). Policy specialists have pointed to the role of paradigmatic crises in specific policy sectors that often spur a global rethinking and the utilization of the radical remedies advocated by social movements. For instance, in this perspective, Carlo Ruzza has studied the diffusion in European Union conventional political environments of the policy frames of a set of movements (Ruzza, 2004).

In terms of methodology, this approach includes informed discussions of methodological aspects (Donati, 1992) and ranges from the most frequent qualitative analyses using excerpts to support the researchers’ arguments, to quantitative content analysis, such as in Gamson (1992), and quantitative approaches applied at the micro level (Johnston, 1995).

Recent assessments of this research tradition by some of its original proponents have documented its versatility and some of its substantive outcomes for both descriptive and analytical purposes and have also provided a frank discussion of the main criticisms it has received (Benford, 1997; Benford and Snow, 2000). Among the criticisms one has to list a neglect of systematic empirical studies - researchers prefer to engage in conceptual development - and reliance on limited case studies. There is also a descriptive bias in much of the work on framing which typically seeks to describe types of frames, such as injustice frames, arms control frames, or environmental justice frames, but does not lend itself to new analytical findings. Furthermore, the dynamic element of framing processes is often ignored in favor of a static description of frames that does not take into account their changing nature over time.

Cognitive Linguistics

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Developing over the past two to three decades, cognitive linguistics has as its central concern the representation of conceptual structure in language. This relatively new field can initially be characterized through a contrast of its conceptual approach with two other familiar approaches, the formal and the psychological. The formal approach focuses on the overt structural patterns exhibited by linguistic forms, largely abstracted away from any associated meaning. The tradition of generative grammar has been centered here, but has had limited involvement with the other two approaches. Its formal semantics has largely included only enough about meaning to correlate with its formal categories and operations. And its reach to psychology has largely considered only the kinds of cognitive structure and processing needed to account for its formal categories and operations. The psychological approach regards language from the perspective of general cognitive systems such as perception, memory, attention, and reasoning. Centered here, the field of psychology has also addressed the other two approaches. Its conceptual concerns have included semantic memory, the associativity of concepts, the structure of categories, inference generation, and contextual knowledge. But it has insufficiently considered systematic conceptual structuring.

By contrast, the conceptual approach of cognitive linguistics is concerned with the patterns in which and processes by which conceptual content is organized in language. It has thus addressed the linguistic structuring of such basic conceptual categories as space and time, scenes and events, entities and processes, motion and location, and force and causation. To these it adds the basic ideational and affective categories attributed to cognitive agents, such as attention and perspective, volition and intention, and expectation and affect. It addresses the semantic structure of mor-

phological and lexical forms, as well as of syntactic patterns. And it addresses the interrelationships of conceptual structures, such as those in metaphoric mapping (*see* Metaphor: Psychological Aspects), those within a semantic frame, those between text and context, and those in the grouping of conceptual categories into large structuring systems. Overall, the aim of cognitive linguistics is to ascertain the global integrated system of conceptual structuring in language. Further, cognitive linguistics addresses the formal properties of language, accounting for grammatical structure in terms of its representation of conceptual structure. And, distinguishing it from earlier semantics, cognitive linguistics relates its findings to the cognitive structures of the psychological approach (*see* Psycholinguistics: Overview). Its long-range trajectory is to integrate the linguistic and the psychological perspectives on cognitive organization in a unified understanding of human conceptual structure.

Many of the major themes of cognitive linguistics can be related in a way that shows the overall structure of the field. A beginning observation is that language consists of two subsystems - the open-class or lexical, and the closed-class or grammatical - that have different semantic and functional properties. Closed-class, but not open-class forms, exhibit great semantic constraint, and do so at two levels. First, their referents can belong to certain semantic categories, such as number, gender, and tense, but not to others such as color or material. For example, inflections on a noun indicate its number in many languages, but never its color. Second, they can refer only to certain concepts even within an acceptable category like number - e.g., 'singular,' 'dual,' 'plural,' and 'paucal,' but never 'even,' 'odd,' or 'dozen.' Certain principles govern this semantic constraint, e.g., the exclusion of reference to Euclidean properties such as specificity of magnitude or shape. What largely remain are topological properties such as the magnitude-neutral distance represented by the deictics (*see* Deixis and Anaphora: Pragmatic Approaches) in *This speck/planet is smaller than that speck/planet*, or the shape-neutral path represented by the preposition in *J circled/zigzagged through the forest*. The two subsystems differ also in their basic functions, with conceptual content represented by open-class forms and conceptual structure by closed-class forms. For example, in the overall conception evoked by the sentence *A rustler lassoed the steers*, the three semantically rich open-class forms - *rustle*, *lasso*, *steer* - contribute most of the content, while most of the structure is determined by the remaining closed-class forms. Shifts in all the closed-class forms - as in *Will the lassosers rustle a steer?* - restructure the conception but leave the cowboy-landscape content largely intact, whereas a shift in the open-class forms - as in *A machine stamped the envelopes* - changes content while leaving the structure intact. The basic finding in this "semantics of grammar" portion of cognitive linguistics is that the closed-class subsystem is the fundamental conceptual structuring system of language (Talmy, 2000).

Such conceptual structure is understood in cognitive linguistics as 'schematic', with particular 'schemas' or 'image-schemas' represented in individual linguistic

forms - whether alone in closed-class forms or with additional material in open-class forms. The idea is that the structural specifications of linguistic forms are regularly conceptualized in terms of abstracted, idealized, and sometimes virtually geometric delineations. Such schemas fall into conceptual categories that join in extensive 'schematic systems.' Many of the substantive findings about conceptual organization made by cognitive linguists can be placed within these schematic systems. One schematic system is 'configurational structure,' covering the structure of objects in space and events in time - often with parallels between the two. For example, inits category of 'plexity' - a term covering both number and aspect - the object referent of *bird* and the event referent of *(to) sigh* are intrinsically 'uni-plex', but the addition of the extra forms in *birds* and *keep sighing* triggers a cognitive operation of 'multiplexing' that yields multiplex referents. And in the category 'state of boundedness,' the intrinsically unbounded object and event referents of *water* and *(to) sleep* can undergo 'bounding' through the additional form in *some water* and *(to) sleep some* to yield bounded referents.

The second schematic system of 'perspective' covers the location or path of the point at which one places one's 'mental eyes' to regard a represented scene. For example, in *There are some houses in the valley*, the closed-class forms together represent a distal stationary perspective point with global scope of attention. But the substituted forms in *There is a house every now and then through the valley* represent a proximal moving perspective point with local scope of attention.

The third schematic system of 'attention' covers the patterns in which different aspects of a linguistic reference are foregrounded or backgrounded. For example, the word *hypotenuse* 'profiles' - foregrounds in attention - its direct reference to a line segment against an attentionally backgrounded 'base' of the conception of a right triangle (Langacker, 1987). The verb *bite* in *The dog bit the cat* foregrounds the 'active zone' of the dog's teeth. And over an expression of a certain kind, the 'Figure' or 'trajector' is the most salient constituent whose path or site is characterized in terms of a secondarily salient constituent, the 'Ground' or 'landmark.' These functional assignments accord with convention in *The bike is near the house*, but their reversal yields the odd *The house is near the bike*.

A fourth schematic system of 'force dynamics' covers such relations between entities as opposition, resistance, overcoming, and blockage, and places causation alongside permitting and preventing, helping and hindering. To illustrate, the sentence *The ball rolled along the green* is force dynamically neutral, but in *The ball kept rolling along the green*, either the ball's tendency toward rest is overcome by something like the wind, or its tendency toward motion overcomes something such as stiff grass (Talmy, 2000).

Schemas from all the schematic systems, and the cognitive operations they trigger can be nested to form intricate structural patterns. To illustrate with events in

time, the uniplex event in *The beacon flashed* can be multiplexed as in *The beacon kept flashing*; this can be bounded as in *The beacon flashed 5 times in a row*; this can be treated as a new uniplexity and remultiplexed as in *The beacon kept flashing 5 times at a stretch*; and this can in turn be rebounded, as in *The beacon flashed 5 times at a stretch for 3 hours*.

Further conceptual structuring is seen within the meanings of morphemes. A morpheme's meaning is generally a prototype category whose members differ in privilege, whose properties can vary in number and strength, and whose boundary can vary in scope (Lakoff, 1987). For example, the meaning of *breakfast* prototypically refers to eating certain foods in the morning, but can extend to other foods at that time or the same foods at other times (Fillmore, 1982). For a polysemous morpheme, one sense can function as the prototype to which the other senses are progressively linked by conceptual increments within a 'radial category.' Thus, for the preposition *over*, the prototype sense may be 'horizontal motion above an object' as in *The bird flew over the hill*, but linked to this by 'endpoint focus' is the sense in *Sam lives over the hill* (Brugmann, 1981).

These findings have led cognitive linguists to certain stances on the properties of conceptualization. The conceptual structuring found in language is largely held to be a product of human cognition and imposed on external phenomena (where it pertains to them), rather than arising from putative structure intrinsic to such external phenomena and veridically taken up by language. For example, in one type of 'fictive motion,' motion can be imputed to a shadow - cross linguistically always from an object to its silhouette - as in *The pole threw its shadow on the wall*, even though a distinct evaluative part of our cognition may judge the situation to lack physical motion. An important consequence is that alternatives of conceptualization or 'construal' can be applied to the same phenomena. Thus, a person standing 5 feet from and pointing to a bicycle can use either deictic in *Take away that/this bicycle*, in effect imputing the presence of a spatial boundary either between herself and the bicycle or on the far side of the bicycle.

The notion of 'embodiment' extends the idea of conceptual imposition and bases the imposed concepts largely on experiences humans have of their bodies interacting with environments or on psychological or neural structure (Lakoff and Johnson, 1999). As one tenet of this view, the 'objectivist' notion of the autonomous existence of logic and reason is replaced by experiential or cognitive structure. For example, our sense of the meaning of the word *angle* is not derived from some independent ideal mathematical realm, but is rather built up from our experience, e.g., from perceptions of a static forking branch, from moving two sticks until their ends touch, or from rotating one stick while its end touches that of another.

The cognitive process of conceptual imposition -more general than going from mental to external phenomena or from experiential to ideal realms -also covers

directed mappings from any one conceptual domain to another. An extensive form of such imputation is metaphor, mainly studied in cognitive linguistics not for its familiar salient form in literature but, under the term ‘conceptual metaphor,’ for its largely unconscious pervasive structuring of everyday expression. In it, certain structural elements of a conceptual ‘source domain’ are mapped onto the content of a conceptual ‘target domain.’ The embodiment-based directionality of the imputational mapping is from a more concrete domain, one grounded in bodily experience, to a more abstract domain - much as in the Piagetian theory of cognitive development. Thus, the more palpable domain of physical motion through space can be mapped onto the more abstract domain of progression through time - in fact, in two different ways - as in *We’re approaching Christmas* and *Christmas is approaching* - whereas mappings in the reverse direction are minimal (Lakoff, 1992).

Generally, mappings between domains are implicit in metaphor, but are explicitly established by linguistic forms in the area of ‘mental spaces.’ The mapping here is again directional, going from a ‘base’ space - a conceptual domain generally factual for the speaker - to a subordinate space that can be counterfactual, representational, at a different time, etc. Elements in the former space connect to corresponding elements in the latter. Thus, in *Max thinks Harry’s name is Joe*, the speaker’s base space includes ‘Max’ and ‘Harry’ as elements; the word *thinks* sets up a subordinate space for a portion of Max’s belief system; and this contains an element ‘Joe’ that corresponds to ‘Harry’ (Fauconnier, 1985). Further, two separate mental spaces can map elements of their content and structure into a third mental space that constitutes a ‘blend’ or ‘conceptual integration’ of the two inputs, with potentially novel structure. Thus, in referring to a modern catamaran reenacting a century-old voyage by an early clipper, a speaker can say *At this point, the catamaran is barely maintaining a 4 day lead over the clipper*; thereby conceptually superimposing the two treks and generating the appearance of a race (Fauconnier and Turner, 2002).

In terms of the sociology of the field, there is considerable consensus across cognitive linguists on the assumptions of the field and on the body of work basic to it. No competing schools of thought have arisen, and cognitive linguists engage in relatively little critiquing of each other’s work, which mainly differs only in the phenomena focused on.

Metaphor and Conceptual Blending

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‘Metaphor’ was defined by Aristotle (*Poetics* XXI, 1457b) as “... giving the thing a name belonging to something else, the transference being ... on the grounds of analogy.” More succinctly, Quintilian (VIII, VI, 1) defined metaphor as “the artistic alteration of a word or phrase from its proper meaning to another.” Tradi-

tionally, then, metaphor is defined as a ‘trope,’ a nonstandard meaning used for its literary effect. On this view, any cognitive significance attributed to metaphorical phenomena is of a negative character. Hobbes (*Leviathan*), for example, argued that metaphors are “... *ignes fatui*; and reasoning upon them is wandering amongst innumerable Absurdities....”

In contrast to the view of metaphor as a literary curiosity, cognitive semantists such as Lakoff and Johnson (1980), Sweetser (1990), and Turner (1991) have argued that metaphor is a pervasive phenomenon in everyday language and, moreover, that it represents the output of a cognitive process by which we understand one domain in terms of another (*see* Cognitive Semantics). Cognitive linguists define metaphor as reference to one domain with vocabulary more commonly associated with another domain. Thus construed, metaphoric language is the manifestation of conceptual structure organized by a ‘crossdomain mapping’: a systematic set of correspondences between two domains, or conceptual categories, that results from importing frames or cognitive models from one domain to another.

Conceptual Metaphor Theory

In ‘conceptual metaphor theory,’ metaphorical expressions are the linguistic manifestation of underlying conceptual knowledge. Whereas traditional approaches have tended to consider metaphorical uses of words and phrases on a case-by-case basis, cognitive linguists have pointed to patterns in the metaphorical uses of word meanings. For example, in (1) through (4) we see a number of examples that employ words whose literal meaning concerns the domain of vision, used metaphorically to characterize the domain of understanding. In such cases, the real topic of discussion (e.g., understanding) is known as the ‘topic’ or ‘target’ domain, while the domain characteristically associated with the vocabulary (e.g., seeing) is known as the ‘vehicle’ or ‘source’ domain.

The truth is *clear*.

He was *blinded* by love.

His writing is *opaque*.

I *see* what you mean.

In these and many such examples of this metaphor-ic mapping, the relationship between the domains is systematic: if seeing corresponds to understanding, then not seeing corresponds to not understanding, faulty vision corresponds to faulty understanding, and so forth. In conceptual metaphor theory, the systematic nature of the relationships between domains in the metaphor results from mapping cognitive models from one domain onto counterparts in the other. This results in a transfer of images and vocabulary from the source domain onto the target. Moreover, it also involves the projection of inferential structure so that inferences from the source

domain can be translated into parallel inferences and counterparts in the target. For instance, in the SEEING domain, if someone is ‘blinded’ he will be unable to see. Analogously, in the KNOWING domain, if someone is ‘blinded’ he will be unable to apprehend certain sorts of information. For this reason, metaphor is considered a conceptual phenomenon, rather than merely a lexical one (*see* Meaning: Cognitive Dependency of Lexical Meaning).

Viewing metaphorical language as a manifestation of the conceptual system explains why the correspondences between elements and relations in the two domains of a metaphor are systematic rather than random. Cognitive linguists argue that the systematicity in the usage of source and target domain terminology derives from the fact that some of the logic of the source domain has been imported into the target in a way that maintains the mappings from one to the other. Consequently, there are parallels between the source and target domains, both in word meanings and in the inferences that one might draw from sentences that use those word meanings. Although the objective features of the two domains in a metaphor are often quite different, the two domains can be seen as sharing abstract similarities.

Analyses of conceptual metaphors are typically stated in terms of the domains that are associated by the metaphor. The domain of vision, for instance, is metaphorically linked with the domain of knowledge and understanding. Consequently, these utterances are said to be instances of the KNOWING IS SEEING metaphor. Alternatively, metaphors can be described in terms of the high-level mapping between the two domains, as in Seeing → Knowing (Table 1). The latter notation is especially useful when the analyst wants to outline the correspondences between the two domains.

Conceptual metaphors such as KNOWING IS SEEING make up a pervasive repertoire of patterns in language and thought. The many expressions we can remember or create that conform to the pattern have been taken as evidence that, just as the metaphoric meanings of many of these words are conventional, so too are the metaphoric mappings. Consequently, a lexical analysis of metaphor is not complete unless it refers to the underlying mapping patterns. The idea that knowledge of metaphoric mappings constitutes part of the linguistic competence of the speaker is supported by the use of conceptual metaphors in novel, poetic language (Lakoff and Turner, 1989). For example, in *To the lighthouse*, one of Virginia Woolf’s characters describes moments of insight as “illuminations, matches struck unexpectedly in the dark.” Although many of the linguistic expressions in this excerpt are creative, the conceptual mappings conform to the pattern in the KNOWING IS SEEING metaphor. Just as a match affords the possibility of seeing one’s surroundings for a brief period of time, a moment of insight allows one to understand something for a brief moment of time. The seer in the match scenario corresponds to the knower, and the quality of vision corresponds to the quality of understanding.

Higher-Level Mappings

In addition to KNOWING IS SEEING, cognitive linguists have identified a large number of conventionalized metaphors, such as DESIRE IS HUNGER (*sex-starved, sexual appetite*), HOPE IS LIGHT (*dim hopes, ray of hope*), or LOVE IS A JOURNEY (*we've come a long way together; their marriage is going off-track, we're just spinning our wheels*) (see Lakoff and Johnson, 1980, 1999). That is, there are many expressions about desire, hope, and love that systematically exploit vocabulary from the domains of hunger, light, and journeys, respectively. As noted earlier, the systematicity derives from the fact that the mappings between elements in the source and the target domains are typically constant from expression to expression, and that many source domain inferences map onto analogous target domain inferences.

Moreover, many conventionalized metaphors such as LOVE IS A JOURNEY can themselves be seen as instantiations of more general crossdomain mappings. LOVE IS A JOURNEY, along with A CAREER IS A JOURNEY and even LIFE IS A JOURNEY, are all instantiations of a more general mapping between long-term purposeful activities and progress along a path. Indeed, the latter is part of a very abstract mapping scheme known as the 'event structure metaphor' (Lakoff, 1993; Lakoff and Johnson, 1999). As outlined by Lakoff (1993), the event structure metaphor includes the mappings outlined as follows.

States	—>	Locations
Changes	—»	Movements
Causes	—>	Forces
Actions	—>	Intentional movements
Purposes	—>	Destinations
Means	—>	Paths
Problems	—>	Impediments to motion

Particular metaphoric expressions such as *deadend relationship* can thus be seen as motivated by metaphoric mappings at multiple levels of abstraction (LOVE IS A JOURNEY, LONG-TERM PURPOSEFUL ACTIVITIES ARE JOURNEYS, and the event structure metaphor).

Primary Metaphor and Experiential Grounding

One important claim in conceptual metaphor theory is that 'primary metaphors' are grounded in correlations in experience. For example, the metaphorical mapping between quantity and height (MORE IS UP) is thought to be motivated by correlations between the number of objects in a pile and its height, or the amount of liquid in a glass and the height of the fluid level. In traditional accounts dating back to Aristotle, metaphors were based on similarities between the two domains invoked in the metaphor. By contrast, Lakoff and Johnson (1980) highlighted the existence of a large number of metaphorical expressions, such as *big idea*, whose two domains have no inherent similarities, arguing instead that such metaphors are experientially motivated.

The experiential motivation of metaphors is consistent with the fact that the mapping between the domains and entities in a primary metaphor is directional. For instance, although the conceptual metaphor KNOWING IS SEEING allows us to utter an expression such as *I don't see what you're saying* to indicate the existence of a comprehension problem, it does not license *don't understand your face* to indicate a problem with visual acuity. Directionality is thought to reflect the underlying cognitive operations in metaphor, in which an experientially basic source domain is exploited to reason about a more abstract target domain. Indeed, many entrenched metaphors involve the use of a concrete source domain to discuss an abstract target. For example, importance is expressed in terms of size (as in *big idea* or *small problem*), similarity is construed as physical proximity (as in *close* versus *disparate philosophical positions*), and difficulties are discussed in terms of burdens (as in *heavy responsibilities*).

Primary metaphors originate in *primary scenes* in which critical aspects of the source and target domains cooccur with one another. For example, the KNOWING IS SEEING metaphor is thought to be motivated by contexts in which visual experience brings about understanding. In fact, corpus research shows that child-directed speech contains many utterances in which both the perceptual and the cognitive meaning of *see* are simultaneously present as in (5) (Johnson, 1999).

(5) Oh, I see what you wanted.

In fact, children produce many such utterances themselves, prompting the suggestion that the meaning of words such as *see* evidences 'conflation,' as the word refers simultaneously to the visual and the cognitive experience. Learning the metaphorical meaning is not a matter of generalizing from a concrete meaning to an abstract one, but rather requires 'deconflation,' in which the child gradually dissociates and distinguishes between the two domains in the metaphor (Johnson, 1999).

Primary metaphors such as KNOWING IS SEEING are directly grounded in experience, while other metaphors are only indirectly grounded. For example, the THEORIES ARE BUILDINGS metaphor is supported by examples like (6) to (8) from Grady (1997), in which theories are discussed with verbiage that might appropriately be applied to buildings.

You have failed to buttress your arguments with sufficient facts.

Recent discoveries have shaken the theory to its foundations.

Their theory collapsed under the weight of scrutiny.

However, it is unlikely that many people have correlated experiences of theories and buildings. Moreover, many experientially basic aspects of our concepts of buildings are not exploited in this metaphor, as in (9) and (10) (Grady and Johnson, 2002).

(9) This theory has no windows. (10) I examined the walls of his theory.

Instances in which source domain language (in this case pertaining to buildings) has no target domain interpretation reveal 'metaphorical gaps.' Primary metaphors,

however, do not evidence these gaps, as virtually any word that is meaningful in the source domain can be metaphorically interpreted in the target domain (Grady, 1999). Consequently, Grady (1997) suggested that the THEORIES ARE BUILDINGS mappings that underlie (6) through (8) arose from a combination of two primary metaphors: ORGANIZATION IS PHYSICAL STRUCTURE and PERSISTING IS REMAINING ERECT. Unlike the proposed mapping between theories and buildings, experiential grounding of a mapping between persistence and remaining upright is quite plausible (Grady, 1999).

Conceptual Blending Theory

Much of the linguistic data accounted for by conceptual metaphor theory can also be analyzed in terms of ‘conceptual blending theory’ (Fauconnier and Turner, 2002). An elaboration of ‘mental space theory’ (described later), the conceptual blending framework (also known as ‘conceptual integration’ and ‘blending theory’) assumes many of the same claims as conceptual metaphor theory, such as the idea that metaphor is a conceptual as well as a linguistic phenomenon and that it involves the systematic projection of language, imagery, and inferential structure between domains. However, in contrast to the emphasis on conventional metaphors in conceptual metaphor theory, conceptual blending theory is intended to capture spontaneous, online processes that can yield short-lived and novel conceptualizations. Furthermore, blending theory reveals connections between the cognitive underpinnings of metaphor and a variety of other linguistic phenomena handled by mental space theory.

Mental Space Theory

Mental space theory (Fauconnier, 1994) is a theory of referential structure, a level of conceptual organization between the situation being described and the linguistic structures that describe it (Langacker, 1993). Although motivated by linguistic data, mental spaces are not specifically linguistic in nature and reflect the operation of more general cognitive processes. In this framework, words do not refer directly to entities in the world. Rather, linguistic cues prompt speakers to set up elements in a referential structure that may or may not refer to objects in the world. Created to solve semantic problems created by referential opacity (*see also* Factivity) and indirect reference, mental spaces can be thought of as temporary containers for relevant information about a particular domain.

A mental space contains a partial representation of the entities and relations of a particular scenario as perceived, imagined, remembered, or otherwise understood by a speaker. This representation typically includes elements to represent each of the discourse entities, and simple frames to represent the relationships that exist between them. Mental space theory deals with many philosophical problems of meaning by employing multiple spaces to represent a single sentence. Although

different spaces can contain disparate information about the same elements, each individual space is internally coherent, and together they function to represent all of the relevant information. In contrast to traditional approaches to meaning construction, the bulk of the cognitive work involves tracking the mappings between spaces rather than the derivation of a logical representation of sentence meaning.

Orlando Bloom is the new James Bond.

Iraq is the new Vietnam, as protests return to the airwaves.

The new James Bond wears jewelry everywhere he goes.

In the context of a newspaper article about the signing of British actor Orlando Bloom to play the character James Bond in an upcoming spy movie, example (11) prompts the construction of two mental spaces, one for reality and one for the movie. Element *a* represents Orlando Bloom in the reality space, while element *a'* represents James Bond in the movie space. An 'identity' mapping between *a* and *a'*

Movie a'

Bond (*a'*)

represents the fact that in this context *a* and *a'* are the same person, even though Orlando Bloom the actor may not share all of his character James Bond's qualities.

Reality a

Bloom (*a*)

In the context of an article about the increasing involvement of musicians in antiwar protests, (12) prompts the construction of two mental spaces: one for 2004 and one for 1970. Element *w* represents the American war with Iraq in the 2004 space, whereas element *w'* represents the American war with North Vietnam in the 1970 space. The link between these two elements is not identity, but rather analogy. Similarly, there is an analogy link between the contextually evoked protests in the 1970 space (*p'*) and the explicitly evoked protests in the 2004 space (*p*).

1970

2004

-* P

w

P

Location (*w*, Iraq)

Location (*w'*, Vietnam)

Movie b'

Bond (*b'*)

Once elements in different mental spaces are linked by a mapping, it is possible to refer to an element in one space by using language more appropriate for the other space. For example, one might utter (13) to convey Orlando Bloom's penchant for wearing necklaces. As in (11), (13) would involve the construction of two mental

spaces: one for reality and one for the movie. Element *b* stands for Bloom in reality space, whereas *b'* stands for Bond in movie space, and (given that wearing jewelry is unlikely for the very macho James Bond character) the predicate wears-jewelry pertains to *b* and not *b'*. Thus, in (13), the speaker refers to *b* (Bloom), only indirectly by naming its counterpart *b'* (Bond). In mental space theory, the possibility of using a term from one space to refer to a linked element in another domain is known as the 'access principle.'

Reality b

Bloom (b) Wears-Jewelry (b)

The access principle is in fact central to the account of metaphor in mental space theory.

Paris is the heart of France.

The heart of France is under attack.

On Fauconnier's (1994) account, a metaphor such as (14) is handled by setting up two mental spaces: one for the source domain (anatomy) and one for the target (geography).

Anatomy

Heart

Body

Geography

Paris

France

The *heart* is linked to *Paris*, and the *body* is linked to *France* by analogy mappings. Once these spaces are linked, one can refer to Paris as *the heart of France*, as in (15). Moreover, as in conceptual metaphor theory, cognitive models that detail the importance of the heart to sustaining the body are cognitively accessible to the target domain and can be mapped onto target space counterparts.

Conceptual Blending and Metaphor

Fauconnier and Turner (1998) suggested that metaphoric mappings were one manifestation of a more general integration process that crucially involved the construction of blended mental spaces. 'Blended spaces' are mental spaces that are built up online to incorporate information from different frames, as well as local contextual information. Central to conceptual blending theory is the notion of the 'conceptual integration network,' an array of mental spaces in which the processes of conceptual blending unfold (Fauconnier and Turner, 1998). These networks consist of two or more input spaces structured by information from discrete cognitive domains, a generic space that contains structure common to the inputs, and a blended space that contains selected aspects of structure from each input space along with any emergent structure that arises in the course of comprehension. Blending involves the establishment of partial mappings between cognitive models in different spaces in the network and the projection of conceptual structure from space to space.

One motivation for blending theory is the observation that metaphoric expressions often have implications that do not appear to originate in either the source or the target domain. For example, although neither butchers nor surgeons are customarily considered incompetent, a surgeon metaphorically described by his or her colleagues as a *butcher* does not have a good reputation. In blending theory, appreciating this metaphor involves establishing mappings between elements and relations in the source input of butchery and the target input of surgery. As in conceptual metaphor theory, there is a mapping between surgeon and butcher, patient and dead animal, as well as scalpel and cleaver.

However, blending theory also posits the construction of a blended space in which structures from each of these inputs can be integrated. In this example, the blended space inherits the goals of the surgeon and the means and manner of the butcher (Grady *et al.*, 1999).

The inference that the surgeon is incompetent arises when these structures are integrated to create a hypothetical agent with both characteristics. Behavior that is perfectly appropriate for a butcher whose goal is to slaughter an animal is appalling for the surgeon operating on a live human being. Table 2 shows the conceptual integration network for *That surgeon is a butcher*. The fact that the inference of incompetence does not originate in the source domain of butchery is further suggested by the existence of other metaphoric uses of *butcher* - such as describing a military official as *the butcher of Srebrenica* - that recruit structure and imagery from the butchery domain but do not connote incompetence. Differences in the implications of the butcher metaphor in the domains of medicine and the military highlight the need for an account of their underlying conceptual origin.

Blending can also be used to explain how the target domain influences the meaning of metaphoric expressions. For example, the metaphoric idiom *digging your own grave* is used to imply that someone is unwittingly contributing to their own failure (see Idioms). While this metaphor depends on conventional metaphoric mappings between death and failure, the meaning of the metaphor in the target domain does not seem to result from a straightforward projection from the source domain of grave digging. If the target domain concerns a case where one's ill-advised stock purchases lead to financial ruin, the digger maps onto the purchaser, the digging maps onto the purchasing, and the digger's death maps onto the purchaser's financial ruin. However, note that in the realistic domain of grave-digging, there is no causal relationship between digging and the grave-digger's death. The blended space thus invokes its imagery from the source input space but obtains its causal structure from the target input (Coulson, 2001; Fauconnier and Turner, 2002).

Furthermore, unlike metaphor theory, which attempts to explain generalizations in metaphoric expressions via the conceptual mappings that motivate them, conceptual blending theory attempts to explain meaning construction operations that

underlie particular metaphoric expressions. Consequently, blending theory can address the meaning construction in metaphoric expressions that do not employ conventionalized mapping schemes. For example, the italicized portion of this excerpt from an interview with philosopher Daniel Dennet involves a metaphoric blend: “There’s not a thing that’s magical about a computer. *One of the most brilliant things about a computer is that there’s nothing up its sleeve*” (Edge 94, November 19, 2001). The input domains here are *computers* and *magicians*, and the blend involves a hybrid model in which the computer is a magician. However, the connection between these two domains arises purely from the cotext of this example, as there is no conventional COMPUTERS ARE MAGICIANS mapping in English.

Blending also can be used to explain how a number of different kinds of mappings can be combined to explain the meaning of a particular example such as (16) (from Grady *et al*, 1999).

(16) With Trent Lott as the Senate Majority Leader, and Gingrich at the helm in the

House, the list to the Right could destabilize the entire Ship of State.

This example involves an elaboration of the conventional Nation-as-Ship metaphor, in which the Nation’s policies correspond to the ship’s course, leadership corresponds to steering the ship, and policy failures correspond to deviations from the ship’s course. The Nation-as-Ship metaphor is itself structured by the more abstract event structure metaphor. The source input is the domain of Ships, which projects an image of a ship on the water, as well as the concept of the helm, to the blended space. The target input is the domain of American politics, which projects particular elements, including Trent Lott and Gingrich, to the blend, where they are integrated with the sailing scenario.

Example (16) describes the ship listing to the right. However, in the realistic domain of ships, neither the presence of one individual (Trent Lott) nor the beliefs of the helmsman are likely to cause the ship to list. The logic of this metaphoric utterance comes not from the source input but rather the target input in which the Senate Majority Leader and the Speaker of the House can affect national policies and the overall political orientation of government. Furthermore, the standard association between conservatism and the right as against liberalism and the left is clearly not based on the ship model, as it is frequently encountered in other contexts. However, because the scenario in the blend involves spatial motion, the literal notion of rightward movement is integrated with the other structure in the blend to yield a cognitive model of a ship piloted by Newt Gingrich that lists to the right.

Consequently, Fauconnier and Turner (2002) proposed that metaphoric utterances are mentally represented in networks of mental spaces known as ‘integration networks.’ As noted earlier, conceptual integration networks are comprised of

four mental spaces. The source and target domain each structure one input space; the generic space represents abstract commonalities in the inputs; and the blended space inherits structure from its inputs as well as containing emergent structure of its own. Rather than emphasizing the extent to which metaphorical utterances instantiate entrenched mappings between source and target domains, conceptual integration networks only represent those cognitive models that are particularly relevant to the mapping supported by the utterance. While mappings in the integration network require knowledge of conceptual metaphors, such as KNOWING IS SEEING, blending theory is best suited for representing the joint influence of input domains and the origin of emergent inferences in particular metaphoric utterances.

Metaphor, Conceptual Blending, and Linguistic Theory

In part because of its origin in mental space theory, conceptual blending theory suggests that the meaning construction operations that underlie metaphoric meanings are but a subset of those involved in other sorts of indirect reference. By treating all sorts of mappings as formally identical, it is possible to understand the transfer of structure in metaphor as being fundamentally similar to the transfer of structure in nonmetaphorical instances. Thus, regardless of whether or not the information being combined originates in different domains, the integrative operations can be understood as requiring the construction of mappings between partial structures that originate in different mental spaces.

This formal identity allows for the unification of the treatment of metaphor - which principally recruits analogy mappings - with the treatment of 'counter-factuals' and 'conditionals,' conceptual blends that often recruit identity mappings. A number of researchers working within the framework of conceptual blending have addressed its implications for counter-factuals (e.g., Coulson, 2000; Fauconnier, 1997; Oakley, 1998) (*see* Counterfactuals). Similarly, the formal treatment of all sorts of mappings is useful in explaining the variety of complex combinations coded for by modified noun phrases. For example, blending theory has been used to explore issues of noun modification in seemingly simple cases like *red pencil* (Sweetser, 2000), more exotic cases like *land yacht* and *dolphin-safe tuna* (Turner and Fauconnier, 1995), and privative constructions such as *alleged affair* and *fake gun* (Coulson and Fauconnier, 1996) (*see* Compositionality: Semantic Aspects).

The most obvious application of conceptual metaphor and blending theory, however, is in lexical semantics, or the study of word meaning (*see* Lexical Semantics: Overview). The pervasiveness of metaphoric meanings suggests that metaphoric extension is a major factor in the emergence of new senses, and thus plays an important role in 'polysemy' (*see* Polysemy and Homonymy). Polysemy is the phenomenon in which a single word form has many related senses, as in *cut paper*, *cut the budget*, and *cut corners*. Because most words have an array of interrelated senses, metaphor

and blending can be used to explain how these different senses can be seen as extensions and elaborations that arise as a function of different contextual circumstances.

Another productive process for creating word senses is ‘metonymy,’ in which words are used to refer to concepts closely related to their more customary referents (see Metonymy). For example, in (17), *Shakespeare* refers not to the man, but to the plays authored by the man. Similarly, in (18), *the White House* refers not to the building but to the people who work in the building.

Kenneth loves Shakespeare.

The White House never admits an error.

The interaction of metaphor and metonymy has recently emerged as a major focus of research in cognitive linguistics (see, e.g., Dirven and Poerings, 2003).

Accounts of both metaphor and metonymy are important for the study of how meanings change over time (Sweetser, 1990; Traugott and Dasher, 2001). Conceptual metaphor theory can identify conventional mapping schemes, such as the event structure metaphor, to describe patterns of semantic change, and the experiential grounding of primary metaphors might help explain why some patterns are more pervasive than others. Moreover, conceptual blending theory, with its capacity to describe the integration of general knowledge and contextual circumstances, might be used to address historical, social, and psychological causes of semantic change.

Narrative: Cognitive Approaches

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Introduction: The Scope of Cognitive Narrative Analysis

Study of the cognitive dimensions of stories and storytelling has become an important subdomain within the field of narrative analysis. Concerned both with how people understand narratives and with narrative itself as a mode of understanding, cognitive approaches have been brought to bear on stories in a variety of media. Studies range from cognitively inflected accounts of narrative perspective in fictional and nonfictional texts (van Peer and Chatman, 2001), to inquiries into narrative as a resource for navigating and making sense of computer-mediated environments (Ryan, 2001), to intermedial research suggesting that narrative functions as a cognitive ‘macroframe’ enabling interpreters to identify stories or storylike elements across any number of semiotic media, literary, pictorial, musical, and other (Wolf, 2003). Equally various are the disciplinary traditions from which cognitive approaches borrow descriptive and explanatory tools. Source disciplines include cognitive linguistics; pragmatics; discourse analysis; narratology; communication theory; anthropology; stylistics; cognitive, evolutionary, and social psychology; rhetoric; computer science; literary theory; and philosophy.

It should not be surprising that, given the range of artifacts and media falling under their purview, their richly interdisciplinary heritage, and the varying backgrounds and interests of their practitioners, cognitive approaches to narrative at present constitute more a set of loosely confederated heuristic schemes than a systematic framework for research on stories. Nonetheless, for descriptive convenience I use the term **cognitive narrative analysis** (hereafter CNA) as a blanket designation for all the approaches discussed in this article - even though CNA in fact encompasses a number of distinct tendencies, each with a particular theoretical emphasis, battery of concepts, and preferred investigative method.

The second section of this article contextualizes CNA by sketching two overarching research developments from which it took rise. The third section then surveys specific analytic paradigms that have helped shape CNA; the section traces forward the influence of these paradigms to provide an overview of some of the main trends within CNA as currently practiced. Finally, after discussing criticisms leveled against the enterprise of CNA, the fourth section outlines areas of concern that can be viewed as targets for future research activity in the field.

Contexts for CNA

Two related trends have functioned as precipitating events for the emergence of CNA. The first is the ‘narrative turn’ that began to unfold across many disciplines in the mid to late 1960s, in part as a result of the development of structuralist narratology in France. Noting that narratives can be presented in a variety of media, communicative situations, cultural traditions, and genres, structuralists such as Barthes (1977 [1966]) argued explicitly for a cross-disciplinary approach to the analysis of stories. In large part, Barthes’s call for an interdisciplinary approach to narrative was answered in the years following the heyday of structuralism. Stories became at once a metaphor more or less loosely applied to disparate content areas (‘stories of nationhood,’ ‘narratives of gender,’ etc.), an object of inquiry in multiple field of study, and an explanatory framework for making sense of events defined by their position in an unfolding time-course (Mink, 1978).

Second, this cross-disciplinary concern with stories has facilitated an especially momentous convergence of humanistic and cognitive-scientific research on narrative. On the one hand, in the constellation of disciplines associated with the cognitive sciences (including linguistics, neuroscience, psychology, computer science, and philosophy), scholars have shown an increasing willingness to take on ever more complex and richly situated narratives (see, e.g., Bamberg, 1997; Emmott, 1997; Ochs and Capps, 2001). Researchers in these fields have begun to embrace the challenge of characterizing how readers or listeners process extended natural-language narratives, as opposed to the short, artificially constructed narratives designed by early cognitive theorists. On the other hand,

humanists studying various forms of verbal art, and in particular narratives, have become increasingly open to and knowledgeable about developments in the cognitive sciences (Abbott, 2001; Richardson and Steen, 2002). Indeed, the central aim of literary CNA and of related endeavors whose focus extends beyond narrative, including cognitive semiotics (Fastrez, 2003), cognitive poetics (Stockwell, 2002; Gavins and Steen, 2003), and cognitive stylistics (Semino and Culpeper, 2002), is to discover ways of reconnecting the study of literary narratives (among other semiotic artifacts) with the study of language and mind. These initiatives thereby seek to promote new, synergistic interactions among areas of inquiry that have remained overcompartmentalized up to now.

Varieties of CNA: Paradigms and Practices

At a more granular level of description, current-day practices in CNA can be traced back to a number of (partly overlapping) research paradigms. Three of the relevant paradigms were roughly coeval, coming into prominence in the 1960s and 1970s: structuralist narratology, sociolinguistic approaches to narrative (among other forms of talk) as a contextually situated practice, and efforts within psychology and artificial-intelligence research to model the cognitive infrastructure of narrative, i.e., the mental equipment that enables people to design and interpret stories. Subsequent researchers built on these precedents to generate ideas whose pertinence for CNA is only now beginning to be grasped. Because of the limited scope of this entry, I single out two later paradigms (or groups of paradigms) as especially salient. On the one hand are the frameworks developed under the auspices of cognitive linguistics and cognitive grammar, which characterize embodied human experience as the basis for all language structure and use. On the other hand are models of ‘the discursive mind’ (Harre and Gillett, 1994), which are sometimes associated with what has been called the ‘second cognitive revolution’ (Harre, 1992; Harre and Gillett, 1994). This work grounds humans’ intelligent activity in the situated production of talk rather than in the minds of solitary cognizers. Space limitations require that my synopsis exclude other important research -e.g., work in evolutionary psychology, neuroscience, and cognitive anthropology - that would need to be discussed in a fuller account of CNA.

Structuralist Narratology: Codes and Cognition

Tzvetan Todorov coined the term **la narratologie** in 1969 to designate what he and other Francophone structuralists (e.g., Roland Barthes, Claude Bremond, Gerard Genette, and A.-J. Greimas) conceived of as a science of narrative modeled after the ‘pilot-science’ of Saussure’s structural linguistics. By analogy with Saussurean structuralism, the early narratologists sought to account for the underlying code (**la langue**) supporting the production and interpretation of particular narrative ‘messages’ [**la parole**].

Emphasizing the need for a systematic investigation of the narrative code in whatever setting, medium, or genre it obtains, structuralist narratology prepared the ground for interdisciplinary research on stories, including CNA. Moreover, structuralists such as Barthes anticipated the work on knowledge representations reviewed below. Barthes (1977 [1976]) suggested that people make sense of narratively organized sequences of events by subsuming particular clusters of events under ‘essential headings’ of ‘the narrative language within us’ (Barthes, 1977 [1966]) - a language or semiotic code which Barthes would eventually reanalyze into five interlocking subcodes, including the proairetic code (used to parse event-sequences into patterns of action) and the semic code (used to interpret narrated events as anchored in characters’ traits and dispositions). As discussed later, arguments along these lines set an important precedent for some strands of CNA (e.g., Cook, 1994; Herman, 2002: 85-113; Stockwell, 2002: 75-89). Yet the early narratologists were hamstrung by their own structuralist methodology; their use of the ‘pilot-science’ of Saussure’s code-centered linguistics was already out of phase with emergent developments in language theory and related fields of study. Focusing on how the language system is anchored in particular contexts of use, these new developments provided important underpinnings for CNA. Theorists began to concern themselves with the material circumstances of narrative transactions, not just the structural properties of narrative viewed as a semiotic code; in the process analysts acquired new tools for describing cognitive dimensions of storytelling situations.

Contextualism (I): Thinking through Narrative Transactions

For researchers concerned with the social contexts of language use, - ‘messages’ or utterances (including the extended utterances that take narrative shape) should be viewed not as manifestations of a code that preexists all communicative acts but, rather, as an interactional achievement, negotiated by participants using an inherently variable linguistic code in situated contexts. Fostering the creation of subfields such as linguistic pragmatics, discourse analysis, and sociolinguistics, this contextualist approach to language-in-use also gave birth to Labov and Waletzky’s (1967) pathbreaking account of personal-experience narratives, which in turn spawned an extensive body of research in this area (see Bamberg, 1997, for a useful overview).

The model outlined by Labov and Waletzky (1967) forged an approach to studying stories-in-use that could accommodate structural, contextual, and cognitive factors. Establishing what remains a much-relied-on vocabulary for labeling the macro-units of personal-experience narratives (abstract, orientation, complicating action, evaluation, resolution, coda), the model had important implications for CNA along two dimensions. First, it identified linguistic structures tending to surface in each of these macro-units and suggested that interpreters monitor the discourse for signs

enabling them to ‘chunk’ what is said into units-in-a-narrative-pattern. Second, at the interactional level, the framework stressed the importance of ‘point,’ i.e., the need for storytellers to provide various sorts of cues (e.g. expressive phonology and evaluative lexical items) that enable interlocutors to infer the **raison d’être** of the narrative, or why it is worth accommodating within an ongoing discourse. The model thus targeted multiple kinds of inferential activity engaged in by storytellers and their interlocutors. At issue are inferences about part-whole and part-part relations among story components, as well as judgments about the appropriateness of narrative tellings in particular kinds of communicative environments.

Building on Labov’s and Waletzky’s work, subsequent theorists have thrown additional light on cognitive features of narrative transactions, some of them arguing for an even more rigorously contextualist approach (again, Bamberg, 1997, provides an overview). Students of narrative working in the conversation-analytic tradition, for example, argue that theories about the cognitive and communicative properties of narrative cannot be adduced **a priori** and imposed as a one-size-fits-all template on all narrative interactions; rather, they must emerge on a case-by-case basis from the disposition or sequencing of structural elements of stories told during interactions unfolding within particularized settings. Whatever their special emphasis, however, studies within the contextualist paradigm underscore how narrative facilitates intelligent behavior. Stories support the (social) process by which participants determine and evaluate the meaning of events, enable the distribution of knowledge via storytelling acts more or less widely separated in time and space from the experiences that they recount, and assist with the regulation of communicative behaviors on a turn-by-turn basis, such that participants can coordinate behaviors required to engage in knowledge-yielding and-conveying talk. The later section on contextualism (II) details how research informing current work in CNA extends and enriches this ‘first-wave’ contextualism by incorporating ideas from other traditions, e.g., Vygotsky’s (1978) account of the social origins of human intelligence.

From Story Grammars and Knowledge Representations to CNA

In the 1970s and 1980s, both cognitive psychologists and artificial-intelligence researchers developed hypotheses about cognitive structures underlying the production and understanding of narrative. This work bears a family resemblance to structuralist accounts of narrative sequences, but features a more explicit and productive nomenclature that continues to shape the practice of CNA today.

Story Grammars On one front, researchers such as Mandler (1984) postulated the existence of what they characterized as cognitively based story grammars or narrative rule systems. Such grammars were cast as formal representations of the cognitive mechanisms used to parse stories into sets of units (e.g., settings and episodes) and principles for sequencing and embedding those units

(for a fuller discussion, see Herman, 2002:10-13). As Mandler put it, “[t]he contention of all story grammars is that stories have an underlying, or base, structure that remains relatively invariant in spite of gross differences in content from story to story. This structure consists of a number of ordered constituents” (1984: 22).

Although the effort to develop full-fledged story grammars is a thing of the past in cognitive psychology and no longer occupies pride of place in CNA, narratological adaptations of the story-grammar enterprise by scholars such as Prince (1973) and Pavel (1985) have had a lasting impact on narrative analysis in general and CNA in particular. Furthermore, current-day work in artificial intelligence builds on the earlier work: a number of theorists are attempting to develop both story-recognizing and story-generating algorithms (Sengers and Mateas, 2003). This research continues the effort to create formal representations of the mind’s capacity to design and interpret stories, testing the adequacy of those formal models through computer implementations.

Knowledge Representations Roughly contemporaneously with the advent of story grammars, research in artificial intelligence also began to focus attention on the cognitive basis for creating and understanding stories. Schank and Abelson’s (1977) foundational work explored how stereotypical knowledge reduces the complexity and duration of many processing tasks, including the interpretation of narrative. Indeed, the concept of ‘script,’ i.e., a type of knowledge representation that allows an expected sequence of events to be stored in the memory, was designed to explain how people are able to build up complex interpretations of stories on the basis of very few textual or discourse cues. Whereas the term **scripts** was used to refer to kinds of world-knowledge that generate expectations about how sequences of events are supposed to unfold, **frames** referred to expectations about how domains of experience are likely to be structured at a given moment in time.

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TEXT LINGUISTICS

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