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**Intertextuality and Literary Reading:
A cognitive poetic approach**

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Thesis submitted to the University of Nottingham
for the degree of Doctor of Philosophy

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To my parents, Zina and Alkis.

To the memory of my grandfathers.

Abstract

The goal of this thesis is to propose a cognitive approach to intertextuality. Intertextuality has attracted the attention of a number of literary scholars interested in discussing the interrelations between literary texts without, however, focusing on how readers create these connections. On the other hand, despite its reader-oriented approach, cognitive poetics has largely neglected the concept.

This project employs recent developments in the field of cognitive linguistics and cognitive psychology and proposes a multi-layered approach to intertextuality in the light of the principles of cognitive poetics. The main part of the thesis draws on the cognitive notion of frames defined as online processing domains. I propose that readers create intertextual links by combining their background knowledge with textual elements in intertextual frames. Three types of frames are identified: semantic, topical and stylistic. The term ‘semantic frame’ refers to the more impressionistic links that emerge from the identification of a single lexical item, while the term ‘topical frame’ refers to more complex constructions built by readers through the identification of multiple textual elements. The term ‘stylistic frame’ refers to links based on quotation identification or genre similarities. A variety of literary texts will be discussed in order to illustrate how these frames may be created.

The final part of the thesis is dedicated to the investigation of the relationship between intertextuality and the emotional engagement of readers with literary texts reflecting recent directions in cognitive poetics. This is accompanied with a mixed methods study designed to present empirical data on how readers construct intertextual links and on the effects these have on the reading experience. The overall aim of this project is to provide the foundations and the theoretical point-of-entry for further related research.

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Intertextuality and Literary Reading: a Cognitive Poetic Approach

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1 Intertextuality: a brief overview

1.1 What is intertextuality?

Providing an accurate and all-inclusive definition of ‘intertextuality’ may be a challenging task due to its multi-faceted nature. In his discussion of intertextuality Graham Allen (2000: 2) states that it is a ‘one of the most commonly used and *misused* terms in the contemporary critical vocabulary’ (my italics). Originally proposed in the field of critical theory, it surpassed its boundaries and has been occasionally employed by linguists as well. If one examines different theorists’ proposals, one notices that intertextuality has been defined so variously that, as Irwin (2004) points out, it has acquired almost as many meanings as users. As we will see below, Kristeva’s broad conception of the term differs significantly from views restricting its use to the domain of *belles lettres* (e.g. Broich and Pfister, 1985; Plett, 1985; Worton and Still, 1990). While this diversity and lack of agreed meaning might cause confusion, it highlights the need for a notion which will account for some key ideas that have been present in the field. More specifically, I believe that one of the main reasons intertextuality has attracted so much attention was that it has offered critics a new means of talking about both the nature of textuality and influence. Despite the fact that there is no commonly agreed upon approach to the term, the overall discussion has given rise to many appealing ideas, some of which will be discussed in greater detail in the following section.

There have also been attempts to incorporate intertextuality into the field of linguistics. The first attempts within a linguistic approach can be attributed to the literary critic Jonathan Culler, who used the term to look at specific presuppositions

of what is already known and unknown, ‘conventions, systems of combination [and] a logic of assumption’ (1976: 1395). Having a similar view, Fairclough (e.g. 1992a, 1992b, 1995) uses intertextuality as a discourse analysis tool. Fairclough’s appropriation has its origins in de Beaugrande’s (e.g. 1984) text linguistics. At the same time, there are broader approaches like David Birch’s (e.g. 1986, 1989), who sees intertextuality as a means of promoting *intertextual stylistics*.

The following sections include a brief discussion of the different ways the term has been used in the two fields since it was coined by Kristeva. The last part of this chapter is aimed at discussing the theoretical problems of the term as well as offering a brief outline of the chapters of the thesis. The main argument supporting my re-appropriation is that intertextuality is better understood not as a property of the text itself, but as a cognitive model of perception. In other words, ‘intertextual’ is an adjective that should be applied to the way readers approach a (literary) text rather than the text itself.

1.2 Intertextuality and literary criticism

1.2.1 Kristeva and the origins of the term

Intertextuality is a concept that emerged from Julia Kristeva’s writings in the 1960s and has remained influential in the field of literary and cultural studies ever since. Emerging from the tradition of post-structuralism, it originally aimed at destabilising cultural values and conventional categories of interpretation. Kristeva in her essay ‘The Bounded Text’ states that any text is actually ‘a permutation of texts, an intertextuality in a space of a given text’, in which ‘several utterances, taken from other texts, intersect and neutralise one another’ (1980: 36). Consequently, as Allen notes, texts are seen as ‘lacking in any kind of independent meaning’ (2000: i). In

order for them to be interpreted, a complex network of textual relations must be created and 'meaning becomes a something which exists between the text and all the other texts to which it refers, moving out from the independent text into a network of textual relations' (Allen, 2000: i).

The idea underlying intertextuality can be traced as far back as Bakhtin's (1981, 1986) writings in the 1920s and his ideas of *dialogism* and *heteroglossia*. The former refers to the clash between the distinct characters' voices, or else distinct 'languages', mainly in novels or between the individual or personal and the social meaning of utterances or words. On the other hand, heteroglossia refers to the recognition of different 'languages' within the society itself: that is 'languages' of different social, professional groups and classes, which have been termed 'registers' in sociolinguistics (e.g. Halliday and Hasan, 1976). This social aspect of Bakhtin's theory is the strong link between his ideas and Kristeva's notion of intertextuality. Apart from Bakhtin, she was also influenced by Saussure's (1983) idea of semiology, that was starting to be called *semiotics* in France. As her attention was focused on semiotics, she coined and employed the term 'intertextuality' in order to show how the text is an intersection of texts, signs and codes of the culture from which it derives. Moreover, Kristeva was also influenced by Marx's concept of 'production' and the Freudian 'dream-work'. The dream work is 'a process ... of playful permutation, which provides the very model for production' (Kristeva, 1986: 83). She opposes it to economic production characterised by the valorisation of the finished work/object and its exchange value. Concerning intertextuality, a single text is characterised as a 'productivity' analogous to the dream-world. More specifically, Kristeva defines the text as 'a trans-linguistic apparatus that redistributes the order of language by relating communicative speech, to different kinds of anterior or

synchronic utterances' (1980: 36). What follows is that its relationship to the language in which it is situated is redistributive, in the sense that it is both destructive and constructive, and that a text is a permutation of texts, as stated above. Kristeva (1986) claims that through the intertextual procedure the text can be considered as an intertextuality (a permutation of texts) within society and history. One can suggest that there are elements in Kristeva's intertextuality that resemble a sociological theory of literature (Mai, 1991: 40), with history and society partaking of the same textuality as literature.

1.2.2 Roland Barthes: the death of the author

Roland Barthes also attacked the idea of stable meaning. He remains one of the major writers on the concept of intertextuality and the following account outlines his position on text and textuality. In his essay 'Theory of the Text' (1981), Barthes claims that the main shortcoming of traditional understandings of the text is the concern for 'objective signification' (37): the retrieval of the author's intentional meaning is the means by which the authority of the work's stable meaning is established. Thus, the act of interpretation is related to the single meaning the author intended for his/her work. However, as he argues in *The Death of the Author* (1977), texts originate not from their authors but from a plurality of voices, of other utterances and of other texts. What he proposes is that the new textual practice should be marked by *signifiance*, an infinite dimension of meaning. In other words, 'it [the text] deconstructs the language of communication, representation or expression ... and reconstructs another language' (1981: 37), whose combinatorial capacities are infinite. Barthes notes that '[o]ne of the paths of this deconstruction-reconstruction is to permute texts, scraps of texts that have existed or exist around and finally within the text being considered: any text is an intertext' (1981: 29).

Other texts of the surrounding or previous culture are present in the intertexts in more or less easily recognisable forms.

In *The Death of the Author* Barthes (1977) follows Foucault's (1969) idea of the decentring of the author and argues that the modern notion of the author is a capitalistic one, with the creator placing and controlling the meaning of the work. Attaching primary importance to the name of the author allows for the work to become an item of exchange value. However, as it was stated above, texts constitute a plurality of voices, an open and polysemous space, whose origin is the 'déjà lu' (Barthes, 1970: 16). As Allen (2000: 72) points out, 'if we were able to look inside the head of the author ..., we would not discover original thought or even uniquely intended meaning'. The modern author merely collects and arranges what has already been read or written in a variety of texts – none of them being original itself. Nevertheless, having denied the authors' authority over their texts, Barthes suggests that even retracing the intertextual elements, the inter-texts, that constitute a text, will only provide access to signifiers and not to the signified. What assumes intertextual quality is language and as he stresses "it is the language which speaks not the author; to write is ... to reach that point where language only acts, 'performs', and not 'me'" (Barthes, 1977: 143). Barthes' proposal decentres authorial intention, only to substitute it with another authority, namely the abstract conception of textual voices. At the same time the readers' role in the creation of meaning and intertextual connections remains unexplored.

1.2.3 Genette's typological approach

Pfister notes in 1991 that by that time Genette had pursued the most systematic approach to intertextuality in his study *Palimpsestes: La littérature au second degré* (1982 and 1997a in English). This book was an elaboration on the ideas explored in

Introduction à l'architext (1979). Genette revised the notion of poetics and produced a coherent theory of what he termed 'transtextuality', which can be seen as a counterpart of intertextuality. Finding Kristeva's notion of intertextuality an inadequate term he proposed *transtextuality* as an alternative. With this term he attempted to stir the discussion of poetics into a higher level by studying the relationships between the text and the architextural network out of which its meaning is manifested.

Nevertheless, Genette's major contribution to the field had yet to appear. It was during the 1990s that the third book of the trilogy, *Paratexts: Thresholds of interpretation* (1997b), was published and in a way re-invented what Culler (1975) has called 'structuralist poetics'. In his trilogy, Genette brings poetics into an intertextual area. In the second book of the trilogy he refines the definition of transtextuality further. More specifically, it is now described as "the textual transcendence of the text, which I have already defined roughly as 'all that sets the text in a relationship, whether obvious or concealed, with other texts'" (1997a:1), and he also elaborates more on its five sub-categories, namely *intertextuality*, *paratextuality*, *architextuality*, *metatextuality* and *hypertextuality*, that he has previously distinguished.

For Genette, *intertextuality* becomes the 'relationship of copresence between two texts or among several texts' (1997a: 1) and 'the actual presence of one text within another' (1997a: 2) losing thus the semiotic nature that Kristeva ascribed to it. It is perceived as covering issues of allusion, quotation and plagiarism. *Metatextuality* refers to the situation when a text is united to another, 'of which it speaks without necessarily citing it (without summoning it), in fact sometimes without naming it' (Genette, 1997a: 4) and, as Allen (2000) stresses, describes the

very practice of literary criticism. The third type of transtextuality is styled *paratextuality*. Paratexts are the elements that stand on the threshold of the text and direct and control its reception by the readers. Paratexts are comprised of *peritexts* and *epitexts*, the former being elements like titles, chapter titles or notes and the latter interviews, private letters and any kind of editorial and authorial discussion which is 'outside' of the text in question. In an earlier discussion Genette stated that paratexts consist of "all those things which we are never certain belong to the text of a work but which contribute to the present or 'presentify' the text by making it into a book. It not only marks a zone of transition between text and non-text ('hors-texte'), but also a transaction" (Genette, 1988: 63).

Another major term around which he builds his theory is *architexts*, the basic and unchanging constructing blocks that underpin the entire literary system. Architextuality can be seen as 'the entire set of general or transcendent categories – types of discourse, modes of enunciation, literary genres- from which emerges each singular text' (Genette, 1997a: 1). The 'architext is, then, everywhere –above, beneath, around the text, which spins its web by hooking it here and there onto that network of architecture' (Genette, 1992: 83). The final important notion in the theory of transtextuality is *hypertextuality*, which is defined as 'any relationship uniting a text B (which I shall call the *hypertext*) to an earlier text A (I shall, of course, call it the *hypotext*), upon which it is grafted in a manner that is not that of commentary' (1997a: 5). By this term, he refers to works which are intentionally intertextual. This aspect of intentionality is further illuminated if we consider the very title of the book, namely *Palimpsest*. Genette uses this term in order to highlight his idea about literature's existence in the 'second degree', meaning that everything is re-writings of what has been already stated in the past. The word 'palimpsest' itself refers to

parchments whose original content has been erased in order for something else to be written. For Genette hypotext is what most theorists call *inter-text*, that is a text that can be definitely located as a major source of signification for another text. An example of this might be Homer's *Odyssey*, which acts as an inter-text (or in Genette's term as a hypotext) for Joyce's *Ulysses* (1922). Hypertextuality can also be seen as a transgeneric architext encompassing canonical, though minor as Genette notes, genres such as pastiche, parody or travesty but also other, and probably all, genres. The boundaries between architextuality and hypertextuality appear to become blurred at this point. However, the main difference is that pastiche, parody and travesty are essentially and intentionally hypertextual while other genres like comedy, tragedy and the novel are based on imitation of generic modes rather than specific hypotexts.

1.2.4 Riffaterre's approach to intertextuality

Like Kristeva and Barthes, Riffaterre followed a semiotic approach to literature. His approach argues that literary texts are not referential but acquire their meanings through the link of the semiotic structures which bring together, amongst others, individual words, phrases, sentences, themes and rhetorical devices. Riffaterre brings this anti-referential approach to his account of intertextuality as well as claiming that texts refer to other texts and signs and not to the world. Riffaterre asserts that 'the text refers not to objects outside of itself, but to an inter-text. The words of the text signify not by referring to things but by presupposing other texts' (1980a: 228).

In order to gain a better understanding of his idea of intertextuality, it is important to briefly explain how Riffaterre sees the process of reading a literary work. He distinguishes two stages, namely a primary, naïve one, where the reading is 'mimetic', and a second 'retroactive' stage of reading, or else hermeneutic. During

the first stage ‘words signify through their one-to-one relationship with nonverbal referents’ (Riffaterre, 1980b: 625). The assumption here is that words relate directly to things, to external referents, and reading is a linear process. Readers have to surmount the ‘mimesis hurdle’ (Riffaterre, 1978: 6), which, though, is essential to the change of their minds. This change takes place when in the course of reading, readers come across ‘ungrammaticalities’ (1978), namely aspects of the text that cannot be interpreted in a referential way (not grammatical mistakes in the linguistic sense of the term). This spurs them into the second, ‘retroactive’ stage. The readers move on to a semiotic interpretation of the work that will allow them to unearth its significance. As Riffaterre states: ‘[t]he poetic sign has two faces: textually ungrammatical, intertextually grammatical; displaced and distorted in the mimesis system, but in the semiotic grid appropriate and rightly placed’ (1978: 165).

Another important notion in Riffaterre’s (1978) theory is the ‘matrix’ of the work, which can refer to a single word, phrase or sentence not necessarily present in the text. According to Riffaterre (1978: 19) the matrix ‘is hypothetical, being only the grammatical and lexical actualisation of a structure’. The poem results from the transformation of the matrix into a ‘longer, complex, and nonliteral periphrasis (1978: 19). The (semiotic) structure of a work is generated by this expansion and the structure’s unity is created by its transformation. Moreover, the matrix is the core upon which the semiotic system of a work is based. Despite the fact that several works may share the same matrix, when this is transformed into a literary text the resulting structure is unique.

Returning to the notion of intertextuality, Riffaterre provides a clear distinction between intertextuality and intertext, the latter term firstly employed by Barthes (1975). Barthes gives a rather poetic definition claiming that the intertext is

‘a music of figures, metaphors, thought-words; it is a signifier as siren’ (1975: 145) and presents Kristeva’s work as one of his intertexts. On the other hand, Riffaterre employs a more lucid definition, namely ‘one or more texts which the reader must know in order to understand a work of literature in terms of its overall significance’ (1990a: 56). He opposes intertext to the understanding of the discrete meanings of its successive words, phrases, and sentences, bringing to mind his previous distinction between mimetic and hermeneutic reading. In another instance, intertext is also associated with the *sociolect*, i.e. the socially normative discourse. An intertext is ‘text-like segments of the sociolect that shares a lexicon and, to a lesser extent, a syntax with the text we are reading’ (Riffaterre, 1984a: 142). Intertextuality is the ‘the web of functions that constitutes and regulates the relationship between text and intertext’ (1990a: 57).

Moreover, Riffaterre distinguishes between two types of intertextuality, namely aleatory and determinate (1984b). Aleatory intertextuality is related to instances where many potential intertexts can be involved, and determinate (or obligatory) refers to the cases where there is an intertext clearly standing behind a text. Aleatory intertextuality is manifested in the ways myths and fables are read. These may be seen by readers as variants of a theme embedded in the traditions of a culture. On the other hand, an example of determinate intertextuality is the presence of *Hamlet* as an intertext of Stoppard’s *Rosencrantz and Guildenstern are Dead* (1968). While the latter appears to bear no particular problems, the former has been characterised as rather unclear and vague. For example, Allen (2000) states that it would be difficult to imagine how Riffaterre can deal with this notion, as it ‘seems to return us to a post-structuralist emphasis on the reader’s productive role in reading’ (130). De Man (1986) discusses the distinction using Saussure’s (1983) work on

anagrams and stresses the lack of clarity in determining whether the intertextual relations were 'random or determined' (de Man, 1986: 43). Riffaterre's distinction captures an important aspect of intertextuality, namely the variety of sources on which individuals rely while reading texts, and also highlights the important role readers' knowledge plays in the generation of intertextual meanings. These two parameters will be central in my discussion of intertextuality.

Riffaterre replied to these criticisms by introducing another concept in his theory, i.e. hypertextuality. He redefined intertextuality as 'a structured network of text-generated constraints on the reader's perceptions' (1994: 781). A set of difficulties, of limitations in the reader's freedom of choice and exclusion is set and the readers have to discard all the incompatible associations in order to identify in the intertext their compatible counterparts. On the other hand, hypertextuality is seen as 'a reader-generated loose web of free association' (1994: 781). He summarises the differences between the two as follows: hypertextuality collects any possible data with the danger of exposing the reader to a wealth of irrelevant material, whereas intertextuality excludes all irrelevant sources. Only the ones presupposed or implied in the text are made explicit and help sustain its main points. Moreover, intertextuality is triggered by the text's very textuality, while hypertextuality is derived from the text in an effort to approximate its social, historical, and cultural background as well as its sign-system, its sum of ideas and its thematic material. Thirdly, it can be suggested that the latter is 'a *metalinguistic tool* for the analysis and interpretation of an *existing text*' (1994: 786, my italics). Intertextuality is a *linguistic network* and it connects the existing text with pre-existing or future texts. It guides reading while hypertextuality only produces variations on the text. Another difference between the two is that intertextuality de-contextualises the text, focusing

on its 'autotelism' (Riffaterre, 1994: 786) and thus on its literariness. Hypertextuality, conversely, contextualises and analyses the text in the light of what may lead to the production of literature but is not literature by itself. These last observations point to the final difference, which is the fact that hypertextuality can be seen as open-ended and ever-developing and intertextuality as a closed-circuit exchange between text and intertext. What follows is that the former allows for creativity in reading but, according to Riffaterre, cannot distinguish between the creation of literary utterances and non-literary ones. Intertextuality, on the other hand, can account for a reader-response which is narrowly controlled by the signs present in the text.

However, for Riffaterre the text remains the main agent of the intertextual or/and hypertextual relations. For instance, he claims that 'the text itself makes clear what segmentation of its own verbal sequence is relevant to its literariness' (1994: 781). Authorial intention is replaced by another more abstract notion, the text, while the discussion of the reader's role in the process remains minimal.

1.3 Intertextuality and linguistics

At the same time, a number of linguists have used the notion of intertextuality in their theories. As one would expect, their use of the term is quite different from the approaches of literary critics. The theoretical underpinning concerning the ontology of texts was disregarded and the new approaches regarded intertextuality as a tool for discourse analysis (e.g. Fairclough 1992a), and as a feature of the communicative nature of texts (de Beaugrande, 1984). It was seen as a notion that would allow linguists to talk about textual segments in terms of implications, assumptions or presuppositions.

A first attempt to provide a linguistically informed discussion of intertextuality dates back to Culler (1976). He discusses intertextuality referring to theorists like Kristeva and Barthes, and suggests two 'linguistic' ways of approaching it; the first looks at specific presuppositions in a text, while the second is concerned with rhetorical or pragmatic presuppositions. Consequently, the former examines the way the text produces a pre-text for itself, 'an intertextual space whose occupants may or may not correspond to other actual texts' (1395) and the latter leads to a poetics which is more interested in the conventions underlying the discursive activity or space. However, as Culler himself points out, this linguistic analogy is a limited way of approaching intertextuality. It neither does justice to the intertextual nature of literary texts nor enables us to talk about the experiences of the readers as a function of the recognition of intertextual relationships.

De Beaugrande's (1984; de Beaugrande and Dressler, 1981) work on *text linguistics* is the first systematic approach to intertextuality in the field of linguistics. It is seen as one of the standards of textuality, which refers collectively to the features texts should have in order to be distinguished from non-texts. De Beaugrande and Dressler use the term in order 'to subsume the ways in which the production and reception of a text depends upon the participants' knowledge of other texts' (1981: 183). Their analysis looks at different text types, including literary texts, but focuses on the description of their formal characteristics. Fairclough has used the term extensively under a similar light in the field of critical discourse analysis, bringing it together with the notion of *genre*. Genre is defined as a kind of text configured by developed and conventionalised text types (Fairclough, 1995) and is seen as the production of social practice and the society where the interaction occurs (Fairclough, 2000). He has distinguished between two types of intertextuality,

namely *manifest intertextuality* and *constitutive intertextuality* (Fairclough 1992b: 117). The former signifies intertextual elements such as presupposition, negation, parody, irony, etc. The latter signifies the interrelationship of discursive features in a text, such as structure, form, or genre and is alternatively termed ‘interdiscursivity’. Manifest intertextuality refers to the cases where ‘other texts are overtly drawn upon within a text’ (Fairclough 1992b: 117), and is discussed in terms of irony, discourse representation, presupposition, negation and metadiscourse. Interdiscursivity refers to the ‘configuration of discourse conventions that go into its production’ (1992b: 104) including genre conventions. Fairclough sees intertextuality as a linguistic strategy used by speakers in order to create a more effective discourse in a given context by drawing on generic features. His use of the term differs significantly from Kristeva’s original concept and he revised it in order to apply it particularly within the field of discourse analysis.

Rob Pope (2002) also discusses the term briefly and distinguishes three kinds of intertextual relation, namely explicit, implied and inferred. His definition of intertextuality as the general term for the relation between one text and another is rather vague. Nevertheless, the categories he draws can offer us an interesting, albeit not very elaborated, insight into the ways intertextuality can be attributed to the writers and the readers. More specifically, according to Pope, *explicit intertextuality* refers to all the other texts that are overtly mentioned and all the specific sources that the writer has demonstrably drawn upon. Pope cites T.S. Eliot’s *The Waste Land* (1922) and its annotated references to Shakespeare’s *The Tempest*. On the other hand, *implied intertextuality* refers to ‘all passing ... allusions to other texts and to the ... effects, which seem to have been contrived by the writer so as to be picked up by the alert and similarly informed reader’ (Pope, 2002: 246). Finally, *inferred*

intertextuality refers to all the texts that *actual readers* draw on to help their understanding of the text at hand. What matters is primarily the status of the texts in the reader's mind rather whether there has been an intention on the part of the author. Pope suggests that readers arrive at intertextual meanings by comparing and contrasting texts, and thus, making sense of them. Contrary to the two previous types, inferred intertextuality is characterised by openness in the sense that what is intertextual is decided on the basis of the readers' insights rather than overt references to other texts. However, at the same time, this openness and the dependence on the individual reader's insight make inferred intertextuality the most demanding kind to account for.

This last observation leads us to another approach by David Birch (1986, 1989), who uses intertextuality in order to incorporate social-political, cultural and ideological positions in the discussion of literary texts within the field of stylistics. In his article 'Working Effects with Words' *Whose Words?: Stylistics and Reader Intertextuality* Birch (1989) centres on the work of the Singaporean poet Edwin Thumboo and demonstrates how to account for meanings created by the readers and not for 'meanings supposedly encoded... by a writer' (1989: 271). He proposes to pay closer attention to the readers' intertextuality, which is a result of their own experiences, and to the meanings that can be produced by readers. Birch's analysis stresses the need for traditional stylistics to move beyond the boundaries of a particular text and become interdisciplinary and reader-oriented. Nevertheless, a comprehensive framework that would allow the wider application of the approach is not offered. Birch's claim, though, for a reader-oriented approach to intertextuality is central in the current project.

1.4 Intertextuality and other notions

Though intertextuality is a neologism coined by Kristeva there are others who have noticed that the features it examines had been subjects of studies before the term was proposed (e.g. Irwin, 2004; Hebel, 1989; Clayton and Rothstein, 1991). Quotation, allusion, and the more general term, influence, are some of the various notions employed in literary scholarship to describe the search for relationships between two texts, or the network of relationships among various texts. In this section, I will refer briefly to these older notions in relation to intertextuality and argue that the latter fits best the purposes of the project.

a. Influence

The search for connectedness can be linked with the greater tradition of *influence*, which refers to ‘relations built on dyads of transmission from one unity (author, work, tradition) to another’ (Clayton and Rothstein, 1991: 3). Influence can also be seen as the centre of a practice, which dates back to the works of the classics and includes imitation and tradition. Plato and Aristotle used the idea of influence/imitation in works such as *The Republic* (c. 380 BC) and *Poetics* (c. 335 BC) respectively. Plato focuses on poetic creation and uses imitation in order to highlight the fact that poets always copy from an earlier version. On the other hand, Aristotle focuses on dramatic creation, which he sees as the reduction of a mass of texts with which the poet is familiar. This mass of texts may include oral tradition of myths, other written works of literature or even social codes or conduct.

Here, we can trace the connection with another notion related to intertextuality, namely *tradition*. In his influential paper *The Anxiety of Influence* (1973), Harold Bloom talks about how the poetic tradition impersonated by the sublime poets of the past becomes a web from which the young poets should break

free in order to acquire their own personal voice. Bloom borrows elements from Freud's (e.g. 1954) psychoanalysis theory and parallels the young poets to Oedipus so that the oedipal complex becomes a model for the relationship between them and a major figure from the past. In order to achieve maturity, they have to follow certain techniques or else 'revisionary ratios' (Bloom, 1973: 8, 13-16), namely to swerve away from the precursors (*clinamen*), to complete them (*tessera*), to break with them (*kenosis*), mythify them (*daemonization*), eliminate all the links (*askesis*) or take their place (*apophrades*). These revisionary ratios act as 'defence mechanisms' (Bloom, 1973: 13) that ensure the artistic development of a strong poet. It becomes, thus, clear that tradition and poetic creation are interwoven and in a sense intertextual. However, the notions of imitation, influence and tradition presuppose the dynamic presence of the author in our discussion. Providing an account of authorial intentions is not within the scope of this project, consequently the aforementioned notions will not be part of our discussion of intertextuality.

b. Quotation

With regard to quotation, Hebel (1989) notes that despite the fact that this traditional notion has attracted the attention of German and French scholars (e.g. Plett, 1986, 1991), the number of English studies from a theoretical point of view has remained considerable smaller. Morawski defines the term (1970: 691) as 'the literal reproduction of a verbal text of a certain length'. Morawski also notes that quotations can be 'easily detachable from the new whole' (691) and their crucial features are their literalness and discreteness. Behind this definition, we can trace the issues that have raised a debate in the studies of the term, namely whether only literal quotations should be considered 'true' quotations or whether less faithful reproductions might be acceptable. Another issue is whether elements of a certain textual length should be

regarded as quotations or whether names from other literary texts or titles can also be considered. Hebel stresses the fact that scholars have started de-emphasising the criterion of literalness and the fidelity to the original wording. What seems to attract their attention is the ‘ability to refer the reader to other texts, to make him or her aware of the text’s relations to points of reference outside itself’ (Hebel, 1989: 4).

The claims for the ability of quotations to open up an extratextual frame of reference and to trigger sequences of associations suggestively point to links with intertextuality. Some scholars like Plett (e.g. 1986, 1991) see quotation as yet another intertextual phenomenon. I believe that quotations give rise to intertextual connections and their use and identification in a literary text has significant implications in the reading experience. Quotations will be discussed in detail in Chapter 6.

c. Allusion

While the connection between intertextuality and the previous two terms can be described in a quite straightforward way, the boundaries between allusion and intertextuality are harder to discern. The main cause for this is that both terms are often used to delineate the same phenomenon. Irwin (2004: 236) refers to allusion as a ‘traditional notion’, that informs the readers about the intentions of the authors, while in an earlier paper he sees it as an indirect reference, which calls for ‘associations that go beyond mere substitution of a referent’ (2002: 521). Ben-Porat (1976: 107) defines it as ‘a device for the simultaneous activation of two texts’ and Perri as a ‘link between texts’ (1978: 289). There are theorists like Irwin (2002, 2004) who regard intertextuality as a technicality, a theory that has been developed in an attempt to replace allusion, while others see allusion as one manifestation of intertextuality (Genette, 1982; Leddy, 1992). I have chosen to employ the term

'intertextuality' because it describes better the project's aim to investigate how readers create links between texts and how these links are activated during the reading experience. Moreover, I believe that, being a more traditional notion, allusion has affinities with the role of the author, as the creator of allusive links, which are intended for an audience able to detect them. However, I would like to refer as succinctly as possible to some studies on allusion, as I believe that the issues raised in them will be helpful in later stages of the project.

From the late 1970s until the early 1990s, a number of scholars constructed frameworks to approach allusion as an intertextual marker. These studies were conducted by Perri (1978, 1984), Ben-Porat (1976), Coombs (1984) and Hebel (1991). Carmela Perri (1978) adopted semantic and pragmatic approaches in order to describe allusion in literature. In her semantic approach, Perri challenged the view that allusion is solely indirect by dwelling upon the notion of reference and noted that 'allusion-markers act like proper names in that they denote unique individuals (source texts), but they also tacitly specify the property(ies) belonging to the source text's connotation relevant to the allusion's meaning' (1978: 291). An example she employs is from Eliot's 'The Love Song of J. Alfred Prufrock' (1917), where a reference is made to Michelangelo. The un-allusive meaning of 'Michelangelo' as a proper name, is a minimal significance indeed for the uninformed reader, while its allusive meaning refers to particular attributes of the painter as these are specified by context. Successful allusions enrich the texts semantically by pointing to the connotation level, which is tacitly specified by the context. Perri also provided the processing steps of allusion, namely the recognition of the referent and then the determination and application of the relevant aspects of its connotation. Thus, allusions specify properties of connotation. According to Perri, alluding markers

have at least a double referent, 'which signifies un-allusively, within the possible world of the literary text' (295), and allusively, 'to one or more texts outside its context' (295), or echo back a previous part of the text. Another interesting point is that, throughout her paper, Perri stressed that the act of alluding rests upon the audience itself, in the sense that if the audience does not possess the necessary knowledge to identify the allusion, then reference is not perceived as a case of allusion. This argument is central in my approach to intertextuality as well.

Ben-Porat (1976) argued that the formation of intertextual patterns is a result of the simultaneous activation of the two texts. In literary allusion, a sign pointing to another text may acquire different denotations, which are independent or even incompatible with the world of the alluding text. The marker, which triggers the allusion, is the built-in directional pattern or element and it belongs to another independent text. The process of actualisation is described in four steps:

1. The first step is the recognition of the marker in a given sign; the recognition entails the identification of the marking elements as belonging or relating to an independent referent text.
2. The second step is the identification of the evoked text, while
3. the third is the modification of the initial local interpretation of the signal, which results from the interaction between the two texts. This reveals the formation of at least one intertextual pattern.
4. The final step is the activation of the evoked text as a whole in an attempt to form maximum intertextual patterns.

If we consider Eliot's 'The Love Song of J. Alfred Prufrock' (1917), the identification of the reference to Hamlet in line 111 can be seen as the first step of the actualisation process, while identification of Shakespeare's *Hamlet* can be

described as the second step. In the third step, readers change their interpretation of the initial text incorporating their knowledge of *Hamlet*. Finally, the readers keep *Hamlet* activated in order to identify other elements in Eliot's text that can be linked to the play and maximise the intertextual patterning. Ben-Porat's account does not explain in detail the principles that direct the creation of links between different texts. However, the inclusion of the final step in the actualisation process opens up a new dimension of the effect of intertextual meaning generation in the reading experience. It goes beyond the specific instance that generated the intertextual link towards the search of additional links between the two texts.

Coombs (1984) approaches all instances of allusion using a single theory, namely Grice's notion of *Conversational Implicature* (1975). According to Coombs, allusions are products of a two-step process. The first step is allusive reference and the second is allusive implication. Allusive reference stems from the referential element, which distinguishes allusion from all other forms of language use. The distinction between direct reference and allusive reference is the distinction that Grice makes between *saying* and *implicating* respectively. Coombs proposes a definition for all allusions:

S alludes to E if and only if:

(1) S Allusively Refers to E.

(2) S Implicates by means of (1) (plus mutual contextual beliefs, background knowledge, etc.) that Q.

(Coombs, 1984: 481)

Literary allusions can be accounted for if a new maxim is added to Grice's set, namely the maxim of Repetition: 'Avoid repetition (of your own or of anyone's discourse or any feature thereof)' (Coombs, 1984: 484). Coombs' account does not go beyond the proposal of a definition of allusion and, thus, does not address the effects

that allusive references have on reading experience nor, as he admits, look at the different types of allusions.

Hebel (1991) provided a detailed account of allusions looking at how they are manifested in a text as well as at their function. He approached allusion as ‘an evocative manifestation of intertextual relationships’ providing ‘a sequence of categories designed to describe overt allusions as functional parts of a narrative’ (1991: 135). He distinguishes between titular, onomastic and quotational allusions. Titular allusions refer to the use of titles of literary works within another literary text; onomastic allusions refer to the use of names of literary characters from other texts; quotational allusions refer to presence of marked or unmarked quotations from other literary texts. With regard to their role Hebel (1991) suggested that they may fulfill an intratextual, a metatextual or an intertextual function. Allusions that support the theme of a work are said to perform an intratextual function, whereas those that seem to provide a commentary on the literary conventions they represent perform a metatextual function. Finally, allusions that contribute to the ‘reality effect’ of a literary text (Hebel, 1991: 157) perform intertextual function. Hebel’s approach provided rigorous descriptive categories of allusions and aimed at replacing atomistic interpretations of single allusions. The role, though, of the reader in the interpretative process was not given prominence.

A more recent account of allusion is Lennon's (2004), who adopted a reader-directed approach by conducting an applied linguistic study with ‘echoic’ allusion in British daily newspapers. His claim is that understanding allusion includes the setting-off of one unit of language *in praesentia* (the alluding unit) against another *in absentia* (the target). Lennon also links his study of allusion with models of language processing, and in particular with the tradition of van Dijk and Kintsch (1983), who

emphasise the importance of background knowledge as a form of input that helps us construct the mental model of the text. There are two obligatory stages in the process of recognising and understanding an allusion: a) recognition, which includes the parallel processing of alluding and target units, then holding of constructed meaning of alluding unit and remembered meaning of target in consciousness, and finally, productive cognitive dissonance, b) inferencing, which is based either on a micro-comparison of the alluding unit and its target counterpart, or on a macrocomparison of the themes of the two texts in general. There is also a non-obligatory stage, namely the appreciation of the writer as an alluder (Lennon, 2004: 196).

The above approaches to allusion were selected and presented because of their similarities in the way they consider the notion. Interestingly, an identification stage followed by a connecting stage and a processing stage are distinguished in most accounts. Perri's and Ben-Porat's reference to the connotation level and their proposal for different steps in the processing mechanism of allusive meaning have strong ties with Lennon's argument and some of these ideas will be useful for my own discussion of intertextuality.

1.5 Problems with intertextuality

The previous sections were dedicated to a brief account of how intertextuality has been discussed in the field of literary criticism as well as in linguistics. This discussion was necessary to provide a comprehensive account of the main views on intertextuality, how it has been employed by various critics and how the concept has evolved throughout the years. In this section, I would like to present some of the shortfalls in the ways the term has been used. The discussion, however, will not dwell upon specific issues raised by each literary critic or linguist, as this would not offer much insight into the way the term will be employed in the current study. After

presenting these, I will move on to explaining how intertextuality will be adopted in order to be used in the field of cognitive poetics.

The first and most important opposition of the current view with the traditional ones is what we may call the *ontology* of intertextuality, or else what the implications behind its use are. Intertextuality is used by literary critics in order to talk about the ontology of texts and literary creation, to describe what a text is. The text is seen as an autonomous entity responsible for the generation of meaning. For Kristeva and Barthes, meaning construction is a property of the text itself and the text is the primary carrier of meaning. They see all texts as intertextual; the common cultural experience, which shapes the social texts, and the literary texts are bound together providing meanings through their interweaving. As Dentith (1995: 98) notes, for Kristeva the multiplicity of possible meanings arises from the text and not from the various occasions in which it may be read. However, their main preoccupation was to destabilise the idea of the author as the voice of authority stemming from the text and controlling/directing its interpretation. For this reason, Barthes also proclaimed the death of the author suggesting that no one is able to create *ex nihilo* but all writers are what he calls scriptors (*scripteurs*) (1977) deprived of genuine productive power. However, this emphasis on the text and the subsequent decentring of the authors has been attacked by theorists (e.g. Burke, 1992; Irwin, 2004; Simion, 1996), who supported the need for the return of the authors to the critical engagement with a work.

Nevertheless, if we focus our attention only on the text, we disregard not only the authorial intention but also another 'entity' of crucial importance, namely readers and their role in the literary experience. Within literary criticism, Riffaterre's (e.g. 1990a) reader-response approach attempted to take into consideration their role but,

as we saw above, he finally maintained that the text remains the primary agent of intertextual connections. Consequently, a reader-focused approach to the concept has not emerged so far. One can suggest that literary criticism's failure to provide a satisfactory account of the role of the readers in the generation of intertextual reading springs from the lack of necessary theoretical apparatus that would allow its practitioners to examine closely the various ways employed by readers in order to approach literary texts.

Another shortfall of intertextuality was pointed out by Culler (1976). Drawing on Bloom's discussions, he stressed that the ways theorists like Kristeva and Barthes have dealt with intertextuality have had two possible implications for how it has been used; a broad concept of intertextuality may lead us to a vast discursive space, very closely related to the Barthesian practice of 'infinite and anonymous citations' (Culler, 1976: 1386) or in our effort to narrow it down we may end up tracking and studying sources. In other words, closely as is to Bloom's efforts, we may seek specific texts as pre-texts, which may lead us to studying the poetic precursors rather than intertextuality itself or compiling a record of citations without studying their effects on the reading experience. On the other hand, the former may also prove a never-ending quest with no implications for texts are really read.

Despite these shortfalls, literary theory has set the basis for discussing intertextuality. Linguistics has not managed to propose a satisfactory approach which would provide us with a framework for studying the implications of intertextuality in literary readings. Culler's (1976) proposal, albeit linguistically sound, does not seem to add anything new in relation to the literary aspect of the intertextuality, while de Beaugrande (e.g. 1984) and Fairclough (e.g. 1992a) borrow the term in order to use

in it in a context far removed from literary reading. It was David Birch's (e.g. 1989) work that brought it closer to a literary context, but his approach lacked a framework that would allow its broader application. Therefore, it can be suggested that linguistics has failed to take advantage of the great prospects the notion has to offer, limiting it to either impressionistic accounts or already trodden paths.

1.6 The structure of the thesis

Referring above to the ontology of intertextuality, I pointed out that for literary scholars intertextuality is an inherent property of the text itself. The aim of this thesis is to approach intertextuality as a complex *cognitive phenomenon* arising when reading literary texts, what Riffaterre attempted to explore and styled as 'a modality of perception' (1980b: 625). I will argue that readers draw on their previous 'literary' knowledge when approaching literary texts. This knowledge can vary in terms of its *texture*, ranging from very detailed and fine to less refined, and it can also encompass different categories, such as information about stylistic features and common or related themes. Readers are likely to look for connections between texts with a double purpose. On the one hand, they do so in order to facilitate their understanding by drawing on previous experiences and familiar concepts. On the other hand, I believe that discovering and establishing connections between (literary) texts is an intrinsic part of the reading experience and the feeling of enjoyment that stems from it. Part of the pleasure readers feel originates from the discovery of these connections. The word 'discovery' here does not necessarily mean a conscious effort to uncover them, as in many cases these connections seem just to crop up.

The first step towards establishing a cognitive approach to intertextuality is to define the particular type of knowledge that readers need to possess in order to build intertextual links, as seen under the light of a cognitive approach to language and

knowledge. In Chapter 2 I set the basis for the discussion of intertextuality in conjunction with cognition by referring to ways cognitive linguistics has approached conceptual knowledge. The founding principles of cognitive linguistics are mentioned in section 2.2 and then the focus is placed on cognitive semantics and Fillmore (e.g. 1975) and Langacker's (e.g. 1987) work on the encyclopaedic view of meaning. The importance of this approach is that it allows us to connect word meaning with conceptual knowledge and use cognitive semantics in order to discuss not only purely linguistic but a far broader range of phenomena. Therefore, the construction of intertextual links based on previous knowledge can be tied into the discussion of cognitive semantics. More specifically, the chapter considers Fillmore's work on frames and Langacker's domains in order to explore the dynamic nature of knowledge along with the collaborative process of interpreting that is based on the individual's knowledge and co-textual factors. Moreover, I will also refer to Blending Theory (Fauconnier and Turner, 2002), another cognitive theory that sees meaning construction as conceptualisation and goes beyond linguistic phenomena.

Having considered the theoretical background of the encyclopaedic aspect of knowledge, Chapter 3 contextualises the discussion of encyclopaedic knowledge in the field of literary reading. The first half of this chapter dwells upon the ways that texts frame the readers' expectations and prompts to adopt a *literary stance*, while the second half identifies a specific type of encyclopaedic knowledge, intertextual knowledge, as the information that individuals possess concerning literary texts. This type of knowledge acts as the source of intertextual connections. It will be claimed that intertextual readings are the result of an online, bidirectional process, which is based on the interaction between the text and a particular type of background knowledge, i.e. the reader's intertextual knowledge. As we will see, when this

knowledge is prompted by textual features, it may give rise to three different types of *intertextual frames*, namely the semantic, topical and stylistic frames, thus creating the intertextual link. Finally, the notion of *intertextual texture* will be introduced, as a means of assessing the quality of the intertextual connections.

Chapters 4, 5 and 6 focus on each of the intertextual frames. More specifically, Chapter 4 focuses on semantic intertextual frames and provides the framework for their discussion by employing Vyvyan Evans' (e.g. 2009) *Lexical Concepts and Cognitive Models Theory*. This theory offers a comprehensive account of meaning construction based on the notions of 'lexical concepts', i.e. parts of speech that provide access to non-linguistic knowledge stored in cognitive models. Word-level intertextual connections are explained based on the identification of the same lexical item, a cognitive synonym, a plesionym or a hyponym.

Topical intertextual readings will be approached using a model based on text world theory in Chapter 5. Topical frames are seen as more complex semantic frames and their creation depends on the identification of a number of textual elements that are used in order to furnish an intertextually-built text world. In contrast to semantic intertextual frames, topical frames have more global effects on the reading experience. Chapter 6 draws the distinction between the two types of stylistic frames, namely the ones based on the identification of generic similarities and the ones based on the identification of phrases previously encountered in other literary texts. The argument will be made about the formulaic nature of certain types of the latter. The notions of creativity and the role of interpretive communities in relation to intertextuality are also discussed.

Chapter 7 will be developed twofold. The first section is dedicated to the discussion of the relationship between the emotional engagement of readers and

intertextual meaning generation. I will draw on Oatley's (e.g. 1999a) work on emotion in order to provide a model of the way intertextual reading can influence the emotional response of readers. The second section presents a short mixed methods study that was conducted in order to test a number of the claims made in the thesis. Undergraduate students from the School of English at the University of Nottingham were asked to read to a short-story, fill in a questionnaire and respond orally to a number of questions concerning the intertextual connections they may have established in the text. This approaches intertextuality using the models developed in the thesis and tests their applicability and it also offers a first insight into whether the activation of an intertextual frame and the subsequent intertextual meaning that results have any bearings on the emotional involvement of the readers with the text. Finally, the concluding chapter, Chapter 8, includes the evaluation and the conclusions drawn from the thesis as well as considerations about future work.

The ultimate goal of this project is to provide a cognitively informed account of intertextuality based on the ways readers construct connections between texts. It is thus clear that there will be two necessary steps towards this goal: the first step is the development of the model and the second one is providing empirical evidence from experiments with readers and investigating their responses in relation to intertextual connections they establish. This new cognitive approach will also allow us to investigate the relationship between intertextuality and the readers' emotional engagement with literary texts. To my knowledge, this will be the first attempt to examine the connection between intertextuality and the readers' emotional engagement. Both the theoretical and the empirical parts of this project will draw their methodological tools from the field of cognitive poetics, which is a relatively recent development in the field of literary studies promising to 'illuminate the study

of literary reading' (Stockwell, 2007: 135). It draws primarily on developments from the fields of cognitive science, namely cognitive psychology and cognitive linguistics, without excluding advances in the field of stylistics. The 'selection, perception, treatment of textual patterns' by readers (Stockwell, 2007: 146) as well as the understanding of literary effects are examined through the application of cognitive frameworks. The thesis will follow the rationale and frameworks of the field to approach literary texts and the possible ways they may be connected.

Throughout the thesis I will draw on a number of poetic texts in order to provide support for the points raised. Poetry was preferred over other literary genres because poems being more succinct allow us to examine more efficiently a number of phenomena related to intertextuality. I deliberately avoided focusing on a specific period or author as I wanted to have a more flexible approach that would approximate real readers' literary experience with regard to constructing intertextual links. Moreover, my aim is to discuss the workings of intertextuality as a cognitive process rather than its manifestation in the works of a particular author. At the same time, I wanted to differentiate my approach from those of literary critics, who based their discussion of intertextuality on obscure texts that are less likely to be known to a non-specialist audience (see for example Barthes, 1975; Riffaterre 1978, 1980b). For this reason, the poems analysed are well-known works of the literary canon. It should be stressed that the aim of the project is not to provide an alternative way of generating new readings for literary texts but to explore the mechanisms used by readers when they approach texts as well as the emotional effects the construction of link may have on their readings. The discussion will focus on the cognitive processes that go beyond the textual level towards more abstract representations of knowledge. The theoretical part will be supported with empirical data in accordance with Miall's

(2006) view that cognitive poetics should empirically validate part of the research. Nowadays the advances in cognitive psychology and reader-response research open up great possibilities for obtaining data. I believe that cognitive poetics should take advantage of its ties with the cognitive psychology and reader-response research, and incorporate their research methodology into its practice. However, instead of embarking on a quest to discover the various allusions, a number of which cannot be traced by the majority of readers, studying the readers' responses to literary texts will provide us with more tangible and probably more insightful results.

Finally, the research questions of the thesis which follow from the preceding paragraphs can be briefly expressed as follows:

- 1) What is intertextuality from a cognitive point of view and what is the nature of intertextual knowledge?
- 2) How do readers create connections between literary texts and how are these manifested?
- 3) Once these connections are established, do they bear any effect on the emotional response of the readers?

The purpose of this chapter was to introduce the notion of intertextuality and clarify the various instances of its use. The similarities and differences between the different approaches were presented along with an account of how the notion evolved both in the field of literary theory and linguistics. Moreover, I juxtaposed it with other similar concepts, like allusion, quotation and influence, and I argued in favour of the selection of the concept of intertextuality for the purposes of the thesis. After pointing to the gaps in previous research, an outline was given of how intertextuality will be approached in the thesis from within the discipline of cognitive poetics.

2 Cognitive linguistics and encyclopaedic knowledge

2.1 Introduction

It was stated in the introductory chapter that the thesis will approach intertextuality as a cognitive process rather than a property of the text. For this reason, this chapter will introduce the basic principles on which the cognitive approach to intertextuality will be based as these have been expressed in the subfield of cognitive linguistics, cognitive semantics. In particular, this subfield argues in favour of an encyclopaedic approach to meaning construction, claiming that words are points of access to vast repositories of structured knowledge and that their meaning is always understood in terms of these repositories and the context of use. The encyclopaedic knowledge of individuals is grounded on the range of their physical, social and cultural experiences. The two major theories that introduced this view will be presented and discussed, namely Fillmore's *frames* (e.g. 1975, 1982) and Langacker's *domains* (1987). These two theories played a significant role in the development of Evans' (e.g. 2009) LCCM Theory which will be the basis for the cognitive approach to intertextuality presented in this thesis. Moreover, another central principle of cognitive semantics and LCCM theory will be presented: meaning construction as conceptualisation. The attention will turn to the level of discourse and meaning will be analysed in terms of cognitive processes. Fauconnier and Turner's influential *Conceptual Blending Theory* (2002) will be outlined and discussed. This theory will also be particularly important when discussing the nature of intertextual frames in Chapter 3.

2.2 Cognitive linguistics

Cognitive linguistics is a sub-field of linguistics that emerged in the 1970s influenced by work in the field of cognitive psychology in the previous decade. The first research conducted was by Fillmore (1975) and Lakoff and Thompson (1975) and was focused on the notion of *categorisation*. Categorisation is a major property of human cognition and part of the research on categorisation was grounded on *prototype theory*. Rosch (1975, 1978) was one of the leading figures of this theory, which ‘assumes that categories are represented by a central tendency that summarises a person’s exemplar experience’ and ‘that an item is placed into the category with the most similar prototype’ (Minda and Smith, 2001: 775). In the years that followed, research has focused on aspects of semantics, morphology and syntax, without excluding areas such as historical linguistics, language acquisition and phonology. Generally, the emphasis is on relating the ways that the mind is patterned and structured to the systematicity of the language.

Evans and Green (2006) note that the major innovation that cognitive linguistics offered is that it challenged the argument of more formal approaches, such as Chomsky’s *Generative Grammar* (e.g. 1965), that there are no interrelations between its different sub-disciplines. This argument is grounded on the ‘objectivist’ position of Cartesian Dualism (Lakoff and Johnson, 1999). René Descartes developed his philosophical ideas in the 17th century and re-introduced Plato’s idea of a clear distinction between corporeal and mental experience. He claimed that:

The mind can be perceived distinctly and completely (that is, sufficiently for it to be considered as a complete thing) without any of the forms or attributes by which we recognize that body is a substance, as I think I showed quite adequately in the Second Meditation. And similarly a body can be understood distinctly and as a complete thing, without any of the attributes which belong to the mind.

(Descartes, 1997: 110)

Cartesian dualism has greatly influenced western thought and approaches to science. Its affinities with the field of linguistics can be seen in what has been termed 'Formal Semantics' by Evans (2006: 348; Evans, Bergen and Zinken, 2007) and Talmy (2000a). According to this approach, the account of word meaning should not involve references to the human body nor to human experience. 'Formal Semantics' can be seen as part of formal approaches to linguistics, which study decontextualised instances of language by identifying explicit procedures which occur in the aspects of phonology, semantics, morphology, and syntax. All these aspects are considered to be distinct and to operate over different kinds of primitives and thus, they are not examined in relation to each other, i.e. they are modular. Another example where the establishment of boundaries between aspects of language can be observed is the two philosophical commitments Lakoff (1990) refers to, namely the Objectivist and Fregean Commitments. The former refers to 'the view that language is made objectively of determinate entities with properties and relations holding among those entities at each instant' (Gibbs, 1994: 4), while the latter refers to 'the commitment to understand meaning in terms of reference and truth' (Gibbs, 1994: 4). Gibbs states that according to the two commitments, semantics is seen only as the relations between symbols and the objective world and as completely independent of pragmatics.

On the other hand, cognitive linguistics claims a more radical view of the study of language. By representing an 'experientialist' and 'anti-objectivist' position, it attempts to investigate the correlations between thought and language. Moreover, as Evans et al. (2007) note, cognitive linguistics adopts approaches which are 'vertical' in the sense that they are able to account for phenomena by combining the different levels of language that 'Formal Linguistics' has set. The results of these

approaches are accounts that are more textured and varied and some of them would be 'simply unavailable from a horizontal [formal], modular perspective' (Evans et al., 2007: 4). Lakoff (1990) has set out the two key commitments of cognitive linguistics. The Generalisation Commitment expresses a dedication to formulating general principles. These general principles will apply to all aspects of language. The second commitment is the Cognitive Commitment, which commands the characterisation of the general principles in terms of what is known about the human mind from other disciplines. It is clear that this statement highlights the interdisciplinary nature of cognitive linguistics.

In particular, the Generalisation Commitment results in the generation of multi-layered and textured explanations of language use while at the same time it allows for one proposed theory to be employed across the field of linguistic sub-disciplines. Gibbs (1994) and Evans et al. (2007) provide us with examples of how prototype theory was employed in a variety of fields ranging from phonology (Jaeger, 1980; Jaeger & Ohala, 1984) and syntax (Goldberg, 1995) to semantics (Taylor, 2003). The Cognitive Commitment certifies that the linguistic theories do not include 'structures or properties that violate the known processes of the human cognitive system' and that 'models that use known, existing properties of human cognition to explain language phenomena are more parsimonious than those that are built from *a priori* simplicity metrics' (Evans et al., 2007 : 5). A final remark is that research in the field has taken two main directions, which fall under the two main constituent parts of cognitive linguistics, namely cognitive semantics and the cognitive approaches to grammar. Cognitive semantics employs language as a key methodological tool in order to uncover the conceptual organisation and structure of the mind. The cognitive approaches to grammar focus directly on the linguistic

system and look at how sound, meaning and grammar are firmly linked. As the aim of the current project is to investigate the conceptual nature of intertextual connections, the emphasis will be primarily on advancements from the field of cognitive semantics, which are explored in the following section.

2.2.1 The principles of cognitive semantics

Evans and Green (2006) observe that cognitive semantics, like cognitive linguistics, is not a unified theory but that researchers who identify themselves as cognitive semanticists typically have a diverse set of foci and interests. Talmy (2000a) describes research on cognitive semantics as 'research on conceptual content and organization in language' (4) and notes that the word 'semantics' indicates the particular conceptual approach. However, it may have more formal connotations associated with more traditional views of word meaning, which Talmy (2000a) calls 'Formal Semantics'. The more traditional views are concerned with the study of word meaning and in particular with the core relationships between the signified and the signifier. This closely Saussurian line was adopted by linguists such as Lyons (1968) and Nida (1975). Lyons makes the distinction between the *reference* of a word and its *sense* following Frege's (1975) argument that it is possible for a word to have meaning (*sense*) without referring to an object of the real world. Frege provides examples of mythological creatures, such as unicorns and dragons, to illustrate his point. Sense is the abstract linguistic meaning while reference refers to the designation of entities in the world. Sense is independent of properties that do not belong to the language system. Nida (1975) claims that meaning is a set of contrastive relations and that it can be determined only in relation to 'contrasts and comparisons with other meanings within the same semantic area' (1975: 151). Moreover, more structuralist approaches to meaning have been adopted (e.g.

Coseriu, 1976; Cruse, 1986). Cruse (1986) sees meaning as componential but the components are not the abstract primitives of the formal approaches. They are the meanings of other words instead. Cruse states:

We can picture the meaning of the word as a pattern of affinities and disaffinities with all the other words in the language with which it is capable of contrasting semantic relations in grammatical contexts. Affinities can be of two kinds, syntactic and paradigmatic.
(Cruse, 1986: 16)

Taylor (2003) claims that Cruse's dismissal of abstractness is a step towards the incorporation of encyclopaedic knowledge into word definitions, encyclopaedic knowledge being one of the basic assumptions of cognitive semantics. The turn towards a more cognitive approach is also evident in Coseriu's (1990) work, despite the fact that, as Taylor (1999) points out, the only aspect of cognitive semantics he deals with in depth is categorisation by prototype.

The key commitments mentioned above, namely the 'Generalising Commitment' and the 'Cognitive Commitment', give rise to the four assumptions of cognitive semantics. According to Evans and Green (2006: 157), these are the following:

- Conceptual Structure is embodied.
- Semantic structure is conceptual structure.
- Meaning representation is encyclopaedic.
- Meaning construction is conceptualisation.

As far as the first assumption is concerned, it can be said that cognitive semantics is concerned with the human interaction with the external world and the nature of the relationship between conceptual structure and our sensory experience. In other words, theories are constructed in order to account for the nature of conceptual organisation in relation to the ways we experience the world. One idea

that has emerged is the *embodied cognition thesis*, originating from Johnson's *image-schema* theory (1987). Image schemas are rudimentary concepts like CONTAINER, BALANCE or UP-DOWN. These concepts are meaningful because they stem from and are linked to the human experience of the world, which is directly mediated and structured by the human body.

According to the assumption that semantic structure is equated with conceptual structure, language is related to concepts in the mind of the speaker rather than to objects in the external world. However, as Evans and Green (2006) point out, the fact that they can be equated does not mean that they are identical. For example, Langacker (1987) states that we have a concept in our mind for the place between our nose and lips, where a moustache grows, but there is no everyday English word encoding this concept. What follows from that is that the set of lexical concepts is only a sub-set of the entire set of concepts in the mind of the speakers (Evans, 2004; Evans and Green, 2006).

This assumption operates in all linguistic units, from bound morphemes to larger constructions, such as passive sentences. Cognitive semantics attempts to provide a unified account of lexical and grammatical organisation contrary to other approaches to language. Of course, there are a number of cognitive linguists who focus on particular aspects of semantic analysis, for example Talmy (2000a) who argues for closed-class semantics. Consequently, there are two main consequences following from the assumption that semantic structures are conceptual. The first relates to the rejection of the dictionary view of word meaning by cognitive semantics in favour of an encyclopaedic view. The second is balancing the two extremes of objectivism and subjectivism, the former as expressed by truth-conditional semantics (e.g. Davidson, 1979; Tarski, 1956) and the latter in views

supporting extreme subjectivism such as Sinha's (1999), in which concepts are cut off from the world they relate to.

The third assumption concerning the encyclopaedic nature of meaning representation is central in the development of the current approach, since it provides us with the rationale upon which the arguments are constructed. The claim of the encyclopaedic view is that words are considered *points of access* (Langacker, 1987) to immense inventories of knowledge and are related to a particular concept or conceptual domain. This claim sets the basis for a broader consideration of how meaning is constructed on the one hand, and of the phenomena that can be accounted for using cognitive principles on the other. Evans et al. (2007) stress that claiming lexical items are points of access is not denying that there is conventional meaning associated with them, but rather that the conventional meaning is 'a prompt' for the process of *meaning construction*: the selection of an appropriate interpretation against the context of the utterance' (Evans et al., 2007: 8). The notion of *concept* thus acquires a central position in cognitive semantics. Fauconnier and Turner (2002: 25) have illustrated this point by providing an example of a child playing on the beach:

- a) The child is safe.
- b) The beach is safe.
- c) The shovel is safe.

These examples illustrate that there is no single fixed property that *safe* assigns to the words *child*, *beach* and *shovel*. The interpretation of example (a) is that the child will not come to any harm, while the interpretation of example (b) is that the beach is an environment where the child has minimal risks of coming to harm, and example (c) indicates that the shovel will not cause harm to the child rather than being in risk of coming to harm itself. The interpretation of these sentences is

possible when one draws upon his or her encyclopaedic knowledge concerning beaches, children and shovels, and your knowledge concerning what it means to be safe. The meaning is then reconstructed by selecting the one which is appropriate in the context of the utterance.

Finally, the fourth guiding principle of cognitive semantics is that language does not encode meaning. As mentioned above words and other linguistic units serve only as 'prompts' for the construction of meaning, which is formed at a conceptual level. Thus, meaning construction is equated with conceptualisation, 'a dynamic process whereby linguistic units serve as prompts for an array of conceptual operations and the recruitment of background knowledge' (Evans and Green, 2006: 162), and is seen as a process. This ties in with the previous statement concerning encyclopaedic knowledge and the open-ended view of word meaning. In particular, it was stated above that encyclopaedic knowledge directs meaning construction, and it involves inferencing strategies that are linked to different aspects of conceptual structure, organisation and packing. One of the models studying the dynamic quality of meaning is Fauconnier's *Mental Spaces Theory* (1994, 1997). According to this theory, language guides meaning construction directly in context and meaning construction depends on mechanisms of conceptual projection, such as metaphor and metonymy. An expansion of this theory is Fauconnier and Turner's *Conceptual Blending Theory* developed in their book *The Way We Think* (2002). According to conceptual blending theory, two *input spaces* are brought together and 'blended'. The result of this cognitive operation is the creation of a new blended space, which contains information projected by both spaces. However, as Ungerer and Schmid (2006) note, the blended space not only draws on the input spaces, but has a new structure of its own, whose set-up is different from either of the input spaces. This

new structure allows for creativity to emerge that goes beyond the denotation of the words originally placed in the input spaces. This principle of cognitive semantics will also be influential in the current account, as it allows us to expand the discussion of intertextuality beyond the word-level. In the following section, I will discuss in more detail these last assumptions that form the basis of the cognitive approach to intertextuality.

2.3 The encyclopaedic view of meaning

The previous section delineated the basic principles of cognitive semantics. According to the encyclopaedic view of meaning, words are points of access to vast repositories of structured knowledge and their meaning cannot be understood independently of these repositories. As Evans and Green (2006) note, encyclopaedic knowledge draws on our social experience with other human beings as well as on our physical experience with the world around us. The origins of this assumption can be traced back to the distinction between dictionaries and encyclopaedias and the parallelisms that this distinction has with the traditional view of linguistic meaning and the encyclopaedic view of cognitive semantics.

Haiman (1980) treated the question of separation between dictionaries and encyclopaedias addressing aspects that can be used to support the encyclopaedic view. Firstly, he addresses the distinction between linguistic and cultural knowledge, which dates back to Saussure's (1983) notions of 'cognitive meaning' and 'emotive or referential meaning'; the former is independent of experience while the latter is culturally and experientially conditioned. As we saw previously, Saussure also distinguished between the 'signification' and the 'valeur' (value) of a sign. This distinction has been maintained in structural semantics under the notions of 'sense' and 'denotation'. This stance is reflected in lexicography in the view that dictionaries

should restrict themselves to specifying only the purely linguistic properties of words. However, according to Haiman, this account fails to take into consideration how *experience* influences our mental lexicon. Russell (1973) attempts to tackle this problem by dividing words into *object* and *dictionary*; the former refer to those whose meaning we learn through associations between the word and the thing and the latter to those whose meaning we learn through verbal definition. Russell himself, however, points out that the distinction between knowledge by acquaintance and knowledge by descriptions 'varies considerably from one person to another' (1973: 66). Thus, experience comes again into play.

The second pair of distinctions is between proper and common names. Haiman (1980) stresses that according to lexicographers, a distinguishing characteristic of encyclopaedias is that they include entries of proper names. Dictionaries do not do so, firstly on the basis that one does not need to, for example, know who Napoleon is in order to speak French, and secondly because 'Napoleon' has no meaning; it is merely used to identify an individual. Haiman addresses the first argument by stating that proper names are in fact cultural knowledge necessary for the understanding of derived metaphors and forms, and that they entail significant connotations even in cases where no famous bearers are associated with them. As far as the second argument is concerned, he poses a number of questions that weaken this stance, for example 'how is it possible to refer to people who are dead or absent?', or 'how are statements of identity anything but tautologies'. For Haiman proper names have 'reference as well as sense because the associated description picks out a single individual' (1980: 352).

In conclusion, Haiman argues that 'semantics without pragmatic prerequisites is... sterile' (356) and that semantic knowledge is a subset of cultural knowledge

with rather fuzzy boundaries. Moreover, as far as proper nouns are concerned, their reference is derivative, in practice, from their sense. An important parameter of his account is the fact that he underlines the need for including cultural and encyclopaedic considerations in the study of the word meaning, as well as aspects of psychological processing. The relationship between proper nouns and intertextuality will be discussed in Chapter 4.

2.3.1 The characteristics of the encyclopaedic view

From the point of view of cognitive semantics, the dichotomies drawn by the dictionary view are regarded as problematic. The first major objection is that the dictionary view assumes a principal distinction between semantics and pragmatics. Cognitive semantics objects to the call for an autonomous mental lexicon that contains semantic knowledge separately from any other kind of knowledge. The distinction between core meaning and social, pragmatic meaning is rejected, and what follows from this amongst other things is that there is no sharp distinction between semantic and pragmatic knowledge. For cognitive linguistics this division is arbitrary, as pragmatic knowledge cannot be separated from semantic knowledge in the same way as linguistic knowledge cannot be distinguished from our 'world knowledge'. It follows from this that the division between sense and reference is seen as invalid, and the claim that a word's sense is primary and determines the context of use is also rejected as it opposes the usage-based approach (e.g. Langacker, 1988) adopted in the field, that sees words as meaningful only when they are put into contextualised use. This is particularly significant for the current approach to intertextuality which claims that lexical items provide access to intertextual knowledge that cannot be encoded in the sense of a word but it is activated in relation to the context of use.

Another characteristic of the encyclopaedic view is that encyclopaedic knowledge is considered a structured system organised as a network. Evans and Green (2006) note that not all aspects of the knowledge accessible by a single word have equal status, but rather that some aspects are more central than others. The notion of centrality was introduced by Langacker (1987), who related it to salience. More specifically, certain aspects of encyclopaedic knowledge are more salient to its meaning. In the case of intertextuality, it will be argued that intertextual knowledge is one of the aspects which does not occupy a central position but becomes more salient when in literary contexts. Thirdly, as it was mentioned above, lexical items serve as points of access to encyclopaedic knowledge. Langacker (1987) stresses that an entity may serve as a point of access to a network of relations and connects this idea to his discussion of domains (see 2.3.2.2). A related characteristic is that the encyclopaedic network of each word is *dynamic*. In other words, the knowledge of individuals about lexical concepts is modified as a result of an ongoing interaction with the world and acquisition of knowledge. An example (Evans and Green, 2006) regarding the lexical concept CAT may be that the information that metaldehyde is potentially fatal for cats is incorporated in one's encyclopaedic knowledge after one's cat was poisoned by it. Evans and Green note that for a speaker who has had this experience the word *cat* now prompts this information, alongside the central knowledge about them. The dynamic nature of lexical concepts facilitates the incorporation of new types of knowledge including intertextual knowledge.

A final characteristic is that encyclopaedic knowledge arises in the context of use and its selection is informed by contextual factors. According to Cruse (1986), discourse context guides the nature of encyclopaedic knowledge that a lexical item prompts for. This phenomenon is called *contextual modulation*, and it occurs when a

particular facet of the encyclopaedic knowledge bound to a lexical item is privileged due to a discourse context. This claim is also related to the usage-based approach and the fact that word meaning is a function of context. According to this approach, there are a number of contexts which modulate any occurrence of a lexical item in a particular usage event. This characteristic of encyclopaedic knowledge allows for intertextual connections to be created in particular contexts. Evans and Green (2006) provide a list of the types of context: (1) the encyclopaedic information accessed; (2) the sentential context, which refers to the resulting sentence or utterance meaning; (3) the prosodic context, that is the intonation pattern of the utterance; (4) the situational context, which refers to the physical location in which the sentence is uttered; and finally, (5) the interpersonal context, i.e. the relationship between the interlocutors at the time of the utterance.

In sum, Evans and Green (2006) stress that the encyclopaedic view of meaning represents a model of the system of conceptual knowledge that underlies linguistic meaning and that it can account for a far broader range of phenomena than purely linguistic ones. My claim is that intertextuality belongs to this wide range of phenomena and can be accounted for using theories from the field of cognitive semantics, since the role of background knowledge gains prominence in the interpretation of utterances and a number of scholars have argued that it is impossible to view words out of frames or domains of experience (e.g. Fillmore, 1975, 1982; Langacker, 1987). These notions will be discussed in detail in the following section.

2.3.2 Theories based on the encyclopaedic view

This section will present the theories that have influenced the encyclopaedic model, namely Fillmore's Frame Semantics (1975, 1982, 1985; Fillmore and Atkins, 1992) and Langacker's domains (1987). The discussion aims at introducing the background

research that has been conducted in the field of cognitive semantics as well as introducing the rationale and the principles that will guide the discussion of intertextuality in later chapters.

2.3.2.1 Fillmore's frame semantics

Frame Semantics attempts to uncover the properties of the structured inventory of knowledge. The idea that concepts are organised in certain ways in the mind has been central in structural semantics, which has studied relations between words as described above. However, the idea that there are other ways of organisation associated with our experience of the world has been expressed. Schank and Abelson (1977) use the example of a RESTAURANT to exemplify this idea. A RESTAURANT is associated with a number of concepts which cannot be described in terms of structural semantic relations, such as CUSTOMER, WAITER, ORDERING, EATING, BILL. All these concepts are linked together by our daily experience and RESTAURANT cannot be isolated from them. A number of terms have been proposed in the fields of artificial intelligence, cognitive psychology and linguistics in order to delineate this idea, for example cognitive model, script (e.g. Schank, 1982, 1984; Schank and Abelson, 1977), schema (Barlett, 1932), scenario (Sanford and Garrod, 1981) and frame (Fillmore, 1975, 1977, 1982; Minsky, 1975). Fillmore's work on frame semantics had the strongest linguistic underpinnings.

Fillmore proposed frame semantics as a model of a semantics of understanding, which should be seen contrastively to truth-conditional semantics. As mentioned above, truth-conditional semantics attempts to arrive at an understanding of word meaning through truth-value judgements as well as judgements of semantic relations. However, according to Fillmore (1985), understanding is of primary importance when it comes to the analysis of meaning, and frames link the elements

and entities associated with a particular culturally embedded scene from human experience (Fillmore, 1982). He describes the understanding process as follows: a speaker produces words and constructions in a text as tools in order to evoke a particular understanding. The hearer's task is to invoke that understanding by discovering the activity these tools are intended for. Consequently, it can be said that words and constructions evoke an understanding and that a frame is this particular understanding. A hearer arrives at an understanding of an utterance when upon hearing it s/he invokes the appropriate frame.

The concept of frame has been elaborated and changed throughout the years. When Fillmore first used the term *frame*, he defined it (1975) as any system of linguistic choices, ranging from collections of words to grammatical rules or linguistic categories, which can be associated with prototypical instances of scenes. Later on, frames provide 'the background and motivation for the categories which these words represent' (Fillmore, 1982: 116-17) and in 1985 they are defined as 'specific frameworks of knowledge, or coherent schematisations of experience' (223). The more recent account of frames argues that they are 'cognitive structures ... knowledge of which is presupposed for the concepts encoded by words' (Fillmore and Atkins, 1992: 75). As Ungerer and Schmid (2006) note, one can observe that these definitions show the gradual shift of the nature of frames from linguistic constructs to cognitive concepts.

There are a number of arguments supporting the advantages of frame semantics. Firstly, it is able to account for concepts that are not intrinsic to the meaning of a word. More specifically, it is claimed that a word has concepts related to it that are extrinsically linked to the concept it describes. Some of them may refer to the prior history of the entity denoted, to the participants in action or the possessor

of properties (this is true for word concepts that denote properties and actions), and to object concepts. For instance, Fillmore (1977) argues that the meaning of *widow* encodes information about the prior life of the woman, namely that she was once married but that her husband has died, the meaning of *hungry* is understood in relation to concepts related to the physiology of living creatures, while *lap* can only be understood in relation to a person's posture. Frame semantics can also account for deictic expressions, which require reference to extrinsic entities, as well as other grammatical words and inflections, such as the definite article *the*, which makes reference to the mental state of the speaker and the hearer indicating mutually known concepts (Fillmore, 1982).

Moreover, there are a number of word concepts which cannot be understood outside the cultural and social institution where the action, state or thing is situated, such as the concept VEGETARIAN which makes sense only in the frame of a culture where eating meat is common. It is worth noticing that no word gives the full structure of a frame but rather a word allows the speaker or hearer to focus their attention on only part of it. Fillmore and Atkins (1992) refer to the RISK frame and state that the verb *risk* occurs in many syntactic constructions but none of them can possibly give rise to *all* the elements of the RISK frame. Moreover, frame semantics can describe issues beyond word-level, such as the coherence of texts. Fillmore (1977: 75) contrasts the following sentences:

- d) I had trouble with the car yesterday. The ashtray was dirty.
- e) I had trouble with the car yesterday. The carburetor was dirty.

It is argued that despite the definite reference the first sentence is incoherent because the frame *having trouble with the car* does not include the ashtray as a possible cause of problems, while carburetors do cause problems. Therefore, it can be suggested that there are a number of consequences arising from the adaptation of

a frame-based model of encyclopaedic knowledge. In the first place, it follows that word meanings can only be understood in terms of frames, and secondly that frames provide a particular perspective on the world. Fillmore (1982) provides the example of the words *coast* and *shore* highlighting that while *coast* describes the land adjacent to the sea in relation to someone on it, the lexical choice of *shore* would be made by a person out at sea. Ungerer and Schmid state that frame theory is ‘an attempt to widen the scope of lexical and grammatical analysis’ (2006: 207). Another implication is that it allows for concepts extrinsic to the concept denoted by the word to be accounted. This is evident when it comes to word concepts, which refer to a prior history of the entity denoted. Fillmore (1977) states that a *scar* is not just a feature of someone’s face, but also a wound in its healing state and that one is not able to understand the meaning of *gallop* without knowing the physiology of a horse. Consequently, it can be suggested that frame semantics has incorporated background knowledge in the study of meaning and has opened up new directions to research in this field.

2.3.2.2 Langacker and encyclopaedic knowledge

As mentioned above, Langacker uses the distinction between dictionaries and encyclopaedias as an analogy to illustrate the distinction between ‘autonomous’, formal semantics and the unified aspect of ‘encyclopaedic semantics’ that he proposes. The distinction between semantics and pragmatics is seen as largely artificial, and he stresses that linguistic semantics should avoid such dichotomies by being encyclopaedic. He also notes that the autonomous, dictionary-type conception of semantics has proven neither fully adequate nor deeply revolutionary, while this encyclopaedic conception allows for ‘a natural and unified account of language structure that accommodates, in a coherent and integral way, such essential matters

as grammatical valence relations, semantic extension, and usage' (1987: 156). According to Langacker, the term *encyclopaedic* can be used to describe the 'open-ended character of meaning' (1987: 489). Semantic extension, which Langacker describes as 'a pervasive and central linguistic phenomenon' (1987: 157), refers to a sense of similarity or association between the original sense of an expression and the extended sense. An extension apparent in cases like 'in' and the extension of 'visible' to 'invisible' may be attributed to our experience of how objects are involved in locative relationships, but one could also attribute these extensions to pragmatic and extralinguistic factors. However, Langacker stresses that this distinction is arbitrary and semantics should be able to account for semantic extension in a unified way. Finally, usage is strongly attached to the *contextual meaning* of an expression. Consequently, the full understanding of an expression depends on the context and again cannot be determined by composition of the component lexical items. Moreover, contextual meaning is often an *emergent property* and it is related to and draws on any facet of a *speaker's conceptual universe*.

2.3.2.2.1 The notion of domains

Langacker (1987) uses the term *domains* to refer to a context of characterisation of a semantic unit. Domains are necessarily cognitive entities, which can be mental experiences, representational spaces, concepts or conceptual complexes. For example, expressions like *cold*, *hot* and *warm* designate lexical concepts in the domain of TEMPERATURE. In other words, we would not be able to understand the meaning of these words without being aware of the temperature system. The range of domains that structure a lexical concept is the *domain matrix* of this concept. An example used by Clauser and Croft (1999) is that aspects of the concept *bird* are

specified by domains such as PHYSICAL OBJECTS, TIME, LIFE and so on. Langacker distinguishes between basic domains that derive directly from the nature of our embodied experience, such as TIME or SPACE, and abstract ones, such as MARRIAGE or LOVE, which are more complex in nature. In other words, basic domains are those which cannot be fully reduced to other domains and thus occupy the lowest level in conceptual hierarchy. They constitute a primitive representational space, which is necessary for the emergence of any specific conception, and they also represent the conceptual potential on which all human conceptualisation is grounded. Nevertheless, there are concepts that do not belong to basic domains but are linked to them through cognitive abilities. Langacker states that 'any nonbasic domain, i.e. any concept or conceptual complex that functions as a domain for the definition of a higher concept' (1987: 150) is called an abstract domain. Abstract domains consist of concepts that provide access to higher-order concepts and thus they function as their domain. The higher-order concepts will in their turn provide the domain for the emergence of further concepts, and so on indefinitely.

Another characteristic is their dimensionality, namely the organisation of some domains in one or more dimensions. For example, TEMPERATURE is one-dimensional, as it is organised along a single dimension. In contrast, COLOUR is organised along three dimensions, i.e. BRIGHTNESS, HUE and SATURATION. Other domains, though, such as EMOTION, cannot be described in terms of dimensionality. Another distinction is related to whether they are *locational* and *configurational* domains. Locational domains are those defined in terms of a one-dimensional scale, like temperature and colour. Configurational domains are the domains which are formed by both two- and three-dimensional configurations. An example of

configurational domain is SPACE, while COLOUR is locational, as each colour sensation occupies a distinct 'point' in each of its dimensions.

Langacker's claim is that a word provides a point of access to an infinite depository of knowledge. A lexical concept has two aspects that are essential in understanding the meaning of a word, namely its *profile* and *base*. The profile of a linguistic unit describes the part of its semantic structure that is explicitly mentioned and thus attracts the attention. The base refers to the aspects that are necessary for understanding the profile. Evans and Green (2006) provide the following example as an illustration of the profile-base distinction. The lexical item *hunter* profiles a particular participant in a particular activity during which an animal is pursued in order to be killed. The meaning of *hunter* can only be understood in the context of this situation. Therefore, the hunting process is the base against which the participant hunter is profiled.

A final remark concerning Langacker's domains is that he attempts to answer a crucial criticism against encyclopaedic semantics. The objection is that when one uses a term, such as *banana*, one can grasp its meaning without bringing to one's minds everything one knows about this term. For this reason, he introduces the notion of *access*. He proposes to view predicates as a *set of routines*, 'which are interrelated in various ways facilitating their coactivation ... but nevertheless retain enough autonomy that the execution of one does not necessarily entail the activation of the rest' (1987: 162). Each predicate, e.g. [BANANA], has a complex matrix of numerous basic and abstract domains, each one of which requires specifications. In addition, the predicate designates one entity with a special status to which all these specifications refer. As far as the network model is concerned, each of the specifications in a complex matrix is a relation, and the entity that the predicate

designates is a node common to all these relations. A cognitive routine can be associated with each of the nodes and the relations. The point of access to networks is the entity designated by a symbolic unit, while the semantic value of the symbolic unit is defined by the open-ended set of relations in which this access node participates.

After this very brief discussion of frames and domains, it becomes clear that cognitive linguistics attempts to shift the emphasis from de-contextualised accounts of word meaning to accounts more sensitive to the individuals' background knowledge. Research within the frame paradigm has been more focused on the problems related to the meaning of verbs that belong in a frame. Fillmore's more recent work has resulted in the creation of a frame-based dictionary and the research project of Framenet (e.g. Baker, Fillmore and Cronin, 2003; Fillmore and Atkins, 1992; Fillmore, Johnson and Petruck, 2003). On the other hand, domains can be described as a theory of conceptual ontology concerned with the ways knowledge is structured and organised and the ways in which concepts are related and understood in terms of others. However, it can be suggested that Langacker's claims do not reach the adequate detail that would render them workable. It is interesting to note that their potential has not been exploited by other theorists. To my knowledge, there are very few elaborations on this theory, such as the work done by Clausner and Croft (1999), who propose that image-schemas are a subtype of domain. Nevertheless, it must be stressed that these models provided the theoretical background which has allowed others to go beyond the strict boundaries of formal semantics towards more open-ended accounts of meaning construction. One such theory is Vyvyan Evans' Lexical Concepts and Cognitive Models Theory (e.g. 2006, 2009) that will provide the central model for the cognitive approach to intertextuality

in this thesis. Langacker's and Fillmore's theories are particularly significant when discussing the creation of the first type of intertextual links that are based on the identification of words in a text, which in turn provide access to encyclopaedic knowledge.

2.4 Meaning construction as conceptualisation

Cognitive semantics makes another fundamental claim concerning meaning construction. Two significant attempts in the field, namely Fauconnier's Mental Spaces Theory (e.g. 1994, 1997) and Fauconnier and Turner's Conceptual Blending Theory (2002), have approached meaning construction as conceptualisation. Mental Spaces Theory provides a way of modelling discourse in terms of mental spaces, that is complex domains that are constructed as a result of ongoing discourse. Fauconnier and Turner (2002) define mental spaces as 'small conceptual packets constructed as we think and talk for purposes of local understanding and action' (40). Language is seen as 'the tip of the iceberg of cognitive construction. As discourse unfolds, much is going on behind the scenes: New domains appear, new links are forged, abstract meanings operate, internal structure emerges and spreads, viewpoints and focus keep shifting' (Fauconnier, 1994: xxii). According to Fauconnier, meaning construction involves two processes: the building of mental spaces and the establishment of mappings between those spaces. Mental spaces contain particular types of information and they are set up by *space builders*, linguistic elements including prepositional phrases, adverbs and subject-verb combinations. Once the spaces are created, they contain elements that are entities that are constructed on-line or existed already in the conceptual system.

Fauconnier's later collaboration with Mark Turner resulted in the proposal of a new theory of dynamic meaning construction called Conceptual Blending Theory

(2002). Turner's work on Conceptual Metaphor Theory (e.g. 1996; Lakoff and Turner, 1989) was another major influence on the new framework. Fauconnier and Turner propose that meaning is produced through integration networks, which are multiple-space entities. These networks emerge by linking two or more input spaces by means of a *generic space*. The generic space provides abstract information that is common for all input spaces. Interlocutors have the ability to identify the common structure in input spaces that gives rise to integration. Finally, another space emerges in the integration network, which is termed *blended space* or more generally *blend*. This is the space that carries the new information that was not present in either of the input spaces. This is how novel meaning is created. All the above spaces are conceptual arrays constructed 'on-line' on the basis of generalised linguistic, pragmatic, and cultural strategies for recruiting information. A well-known example of conceptual blending is provided by Taylor (2002):

- f) In France, Bill Clinton wouldn't have been harmed by his relationship with Monica Lewinsky.

The integration network in this example includes two input spaces. One input space includes CLINTON, LEWINSKY and their RELATIONSHIP and it is structured by the frame AMERICAN POLITICS. In this frame, we can encounter the role of AMERICAN PRESIDENT along with attributes associated with this role, such as MORAL VIRTUE, an aspect of which is marital fidelity. In this space marital infidelity would mean political harm. The second input space is structure by the frame FRENCH POLITICS and in this frame it is accepted for a FRENCH PRESIDENT to have a MISTRESS. Therefore marital infidelity does not lead to political harm. These two input spaces are related through a third space, namely a generic space, which incorporates generic roles, such as COUNTRY, HEAD OF STATE, CITIZENS and SEXUAL PARTNER. Finally, there is a blended space, which contains BILL

CLINTON, MONICA LEWINSKY, FRENCH PRESIDENT and MISTRESS OF FRENCH PRESIDENT, with which Clinton and Lewinsky are respectively associated. It is important to stress at this point that the frame that structures the blend is FRENCH POLITICS, and it follows from this that Clinton is not politically harmed by his marital infidelity. In this example, input spaces remain connected to the blend, therefore the structure in the blend can project back towards the inputs and give rise to a disanalogy between France and the U.S. The point of this utterance is counterfactual and it is aimed at emphasising the differences between the attitudes towards politicians in the States and France.

Therefore, the integration network consists of at least four spaces, the generic, the two input and the blended spaces. The input spaces give rise to a process termed *selective projection*. In other words, only the information required for local understanding is projected in a blend instead of all the structure of the input spaces. There are a number of governing principles that regulate the projection. In addition, the role of the generic space is to establish counterpart connectors between the input spaces using the conceptual operation of matching. Connectors are established on the basis of identity or role, such as in the CLINTON AS FRENCH PRESIDENT example, or on metaphoric use of language. A much discussed example of the latter is 'This surgeon is a butcher', where the metaphor can be explained in terms of a series of counterpart mappings: 'butcher' onto 'surgeon'; 'animal' (cow) onto 'human being'; 'commodity' onto 'patient'; 'cleaver' onto 'scalpel' (see also Grady, Oakley and Coulson, 1999). When it comes to the emergent structure there are three component processes that give rise to it: composition, completion, and elaboration. Composition refers to the composition of elements from separate inputs. In the CLINTON AS FRENCH PRESIDENT example, BILL CLINTON is combined with the role FRENCH

PRESIDENT in the blend. Completion refers to the recruitment of background frames, like the frames associated with FRENCH POLITICS or U.S. MORAL ATTITUDES. These frames provide us with the structure that enables us to understand the main inferences emerging from blends and to complete the information projected from the input spaces. The final process is called elaboration or running the blend and it refers to the online processing which gives rise to the blend. It should be stressed that any space in the integration network can undergo modification. In the example, we saw how disanalogy is created through backward projection and how a powerful contrast is established between American and French morals and attitudes towards politicians. Overall, conceptual blending is seen as a conceptual operation central to human thought and imagination. It goes beyond the linguistic phenomena and it is able to describe non-linguistic human behaviour, such as folklore and rituals, introducing new ways of accounting for broader aspects of human experience.

Conceptual Blending theory is of particular importance for the thesis because it provides the basis for the discussion of intertextual frames in Chapter 3. Moreover, the notion of conceptualisation is one of the fundamental principles of Evans' (e.g. 2009) LCCM theory, i.e. the theory on which the discussion of semantic intertextual frames is based. Finally, the notion of space builders and the process of blending will be critical in the account along with Werth's (e.g. 1999) *text world theory*, on which Chapter 5 will be based.

2.5 Review

The overall aim of this chapter was to provide the principles and directions that will allow the development of an encyclopaedic account of intertextuality. It has deliberately avoided very explicit connections with intertextuality, which are to

unfold in the following chapters. It presented the theoretical foundation of the thesis based on the principles of cognitive semantics and its claim concerning word meaning. The principles of encyclopaedic knowledge will be employed in Chapter 3 in the account of intertextual knowledge. It becomes clear from the above that perspective of cognitive semantics maintains that word meanings are related to complex and larger knowledge structures. According to Evans, encyclopaedic knowledge is seen as:

the highly detailed, extensive, and structured knowledge we as humans appear to have access to in order to categorise the situations, events, and entities we encounter in our everyday lives and in the world, and the knowledge we draw upon in order to perform a range of other higher cognitive operations including conceptualisation, inference, reason, choice.

(Evans, 2009: 17)

Encyclopaedic knowledge is called upon when using language and it serves as a context 'against which words receive and achieve meaning' (Evans, 2009: 17). This is a crucial statement but at the same time very broad, since it is not specified how encyclopaedic knowledge surfaces in particular areas of language use. In this thesis I will attempt to fill in this gap by focusing on one aspect of literary reading, namely the generation of intertextual connections, and the nature and role of encyclopaedic knowledge will be investigated alongside its effects on the reading experience. With regard to the notion of conceptualisation, it will be suggested in Chapter 3 that it plays a significant role in the emergence of the processing domains where intertextuality emerges through the combination of textual information and background knowledge. Insights from Conceptual Blending Theory will be critical in the discussion with particular attention paid to the role of input spaces as the starting points of intertextual links. It will thus provide the basis of the discussion of intertextuality as a cognitive process. In addition, the notion of encyclopaedic

knowledge will be of great importance when discussing particular types of intertextuality, whose analysis will be based on Evans' LCCM theory (e.g. 2009) and the encyclopaedic aspect of word meaning.

3 The nature of intertextual knowledge

3.1 Introduction

It was stated in the introductory chapter that my focus is to look at how links between literary texts are formed and to incorporate the notion of intertextuality in the field of cognitive poetics. Chapter 2 aimed primarily at introducing the basic cognitive theories which have attempted to incorporate encyclopaedic knowledge in the study of language. It was claimed in the concluding section of the chapter that the notion of encyclopaedic knowledge is very broad and that this thesis will look at one area of language use, namely literary discourse with a focus on its comprehension by readers. In this thesis, I follow the claim of a number of theorists such as Carter and Nash (1990), Kintsch (1998) and Stockwell (2002) of a unified processing of all types of discourse including literary texts. Language is regarded as an integral facet of cognition (e.g Langacker, 2008) and literary language is seen as one expression of this facet. Stockwell stresses ‘there is nothing inherently different in the form of literary language, it is reasonable and safe to investigate the language of literature using approaches generated in the language system in general’ (2002: 7), while Carter and Nash make a similar claim when they suggest that ‘we do not see why the same analytical procedures and schemas cannot be applied across a range of texts’ (1990: 29). Walter Kintsch shares the same view: ‘[t]he comprehension processes, the basic strategies, the role of knowledge and experience, as well as the memory products generated, are the same for literary texts as for the simple narrative’ (1998: 208).

Nevertheless, I believe that, although the basic analytical procedures employed to study literary language can be the same as those used for the study of other types of discourse, readers do adjust their reading style when engaged with literary works. This adjustment should be taken into consideration and the theories should be refined and expanded, if necessary, in order to account for literary reading. Despite the validity of Kintsch's (1998) remark that the role of knowledge is the same for any type of text, he does not account for the different types of knowledge and how these may influence our understanding of a text. In the present chapter I will discuss the nature of intertextual knowledge and its ties with encyclopaedic knowledge. This discussion will provide the basis for developing my approach to intertextuality and it will be followed by a first approach to the construction of intertextual connections. Before doing so, I wish to elaborate more on the view expressed above that literary discourse influences the reading experience. For this reason, I will look more closely at the notion of literary genre and its connection with cognition as well as the particular *stance* that readers adopt when reading literary texts.

3.2 Literary genre

Literary genre is a notion that needs to be elaborated in order to better understand how reading a literary text can influence the operational principles of individuals. The term 'genre' has a number of definitions and, as Bex (1996) states, what its definition is depends highly on what its function is perceived to be. There are formal approaches such as Halliday and Hasan's (1985) who suggest that genres are realised by a set of obligatory elements and that each one carries a meaning potential within the exchange. At the same time, there have been more recent proposals with more 'social considerations', such as the following taken from Swales: 'a genre comprises

a class of communicative events, the members of which share a set of communicative purposes. These purposes are recognised by the expert members of the parent discourse community, and thereby constitute the rationale of the genre' (1990: 58). This definition brings forward the notion of discourse communities (see section 6.5) and also allows for the inclusion of sociological factors in the discussion of what genre is. Miall (2002) also stresses the social aspect of genre stating that it 'is held to embody certain social roles that govern the relation between text and reader' (324-5). In addition, Frow (2006) sees genre as a dynamic process and a result of negotiation rather than as a set of stable rules.

When it comes to the literary genre, it can also be seen as an umbrella term encompassing a variety of different subgenres, such as sonnets, science fiction, novels or ballads. Alastair Fowler (1982) notes that subgenres have a functional role: 'they actively form the experience of each work of literature' (38). It is not within the purposes of this project to dwell upon a lengthy and inconclusive discussion about the number of the possible subgenres, and nature of each, but rather to point to what many scholars have suggested, namely that there seems to be a connection amongst genre, cognition and intertextuality. Firstly, Wales (2001) stresses that 'genre is ... an intertextual concept' (221), which acts as a *frame of reference* assisting readers in arriving at an interpretation of a text. More focused on cognitive concepts, Stockwell (2002) proposes prototype theory as a means of approaching genres and generic structures and also sees intertextuality connected, albeit loosely, to prototype structures. More specifically, he states that 'literary sources and influences are items in the attributes of the concept' and '[t]he shadow of other texts becomes available to the reader' (38). Frow (2006) approaches genre as schema saying that genre is one form of knowledge organisation based on matters of

economy. Readers are able to identify the appropriate genre cues, which will act as ‘context-sensitive drop-down menus’ (2006: 84) and will direct them to the layers and sub-layers of the relevant information. As far as intertextuality is concerned, Frow states that genre is central to the process of a text bringing to mind another text. Texts are relevantly similar to some and relevantly dissimilar to others, and these similarities and differences constitute one form of intertextuality. Consequently, genre has been directly related not only with intertextuality but also with the cognitive mechanisms occurring during the reading process.

3.3 Genre and cognition

3.3.1 Literary competence and the literary experience

Frow’s observation that readers are able to recognise the cues of the relevant genre brings forward the question of the role of literary experience and the readers’ familiarity with literary conventions. In 1975 Jonathan Culler introduced the term ‘literary competence’ in order to describe the “internalised knowledge of the ‘grammar’ of literature” (1975: 132). The term refers to the knowledge a reader has which allows him or her to convert ‘linguistic sequences into literary structures and meanings’ (1975: 132). A reader’s mind is not a *tabula rasa* when he or she approaches a text, but carries a set of implicit knowledge of the operations of literary discourse, which tells him or her what to look for. Someone lacking this knowledge would not be able to read the given text as literature although they could make perfect sense of the words and sentences. This idea is also related to Culler’s view of literature as a second-order semiotic system, which can be accessed only by those who have gained expertise in it. Consequently, words and sentences seem to have two different levels of meaning, namely one related to the first level of semiosis,

where primary linguistic meaning is ascribed, and a second one related to a second level, where words and sentences are ascribed with a 'literary' meaning. According to Widdowson (1999), this view of literary competence places prominence on the role of the readers, as it is they who recognise and ascribe literary quality to the words.

In addition, Culler mentions that an important parameter in the activation of any level of semiosis is the genre of the text. The readers possess not only the necessary knowledge provided by experience in order to recognise the particular genre but also the necessary cognitive operations to activate the appropriate level of semiosis. As Wales (2001) notes, for Culler, genre becomes a model of expectation for readers, who frame a text within a genre depending on their general knowledge of reading. Therefore, it appears that readers adjust their cognitive tools according to the genre and the reading situation. This idea is no stranger to cognitive linguistics either. There have been a number of proposals, which provide an account of the way hearers, alternatively called receivers, and speakers, or senders, create a common basis. Langacker (2008) calls this construct *current discourse space* (CDS). This refers to everything shared by the hearer and the speaker that acts as the basis for discourse at a given moment. The CDS is mostly stable, though it continually updates when discourse proceeds and its successive utterances are being processed. Langacker (2008) stresses that the CDS 'at any point provides the basis for interpreting the next utterance encountered, which modifies both its content and what is focused within it' (281). Of course, not all its aspects are invoked and influence the interpretation of any particular utterance. The certain portions that are invoked make up a discourse frame, which is produced by updating the preceding one.

Text world theory (Gavins, 2007; Werth, 1999) also uses a notion similar to current discourse space. It sees interlocutors as occupying a common discourse world. This world allows for the incorporation of the 'personal baggage', as Gavins (2003: 136) puts it, of each participant in the language event. This baggage can have the form of intentions, knowledge, memories, beliefs, imaginations and motivations. The problem that may arise from such liberty is the potential mass of information that needs to be processed and the framework's potential inability to manage it. For this reason, the notion of common ground (CG) was introduced. Common ground maintains that not all the potential knowledge is activated but only what is seen as relevant for the purposes of the current discourse. So, information is seen as clustering together in order to form different types of necessary context. Participants then assess, while reading, the necessary context. The main criterion that enables such an assessment is the text itself. Readers are capable of processing the linguistic and inferential information they are provided with and thus select amongst the possible alternatives the most fitting ones.

Once again, what seems to emerge from the above is that theorists in cognitive linguistics agree on the existence of space, metaphorically speaking, where readers place themselves when reading a particular type of text. This space is genre-specific and readers adapt themselves depending on the reading situation. The adjustment actually facilitates the activation of knowledge associated with each situation and the norms that are associated with each genre. In the neighbouring field of psycholinguistics, a common idea concerning this 'adjustment' of readers has been proposed. The term for it is *cognitive stance* and it has been widely used within cognitive science. One of the prominent uses is in Deictic Shift Theory (DST) (e.g. Segal, 1995; Stockwell, 2002) referring to the process by which readers immerse in a

literary text. In other words, readers are drawn into the world of the text by following up a number of cues, spatial, temporal or perceptual. These cues serve to mark the deictic centre (DC) that readers should adopt in order to situate themselves in relation to the story world. Segal (1995) notes that it is a cognitive structure which often encloses temporal and spatial elements within a fictional world, or 'even within the subjective space of a fictional character' (Segal, 1995: 15), offering coherence to a text.

3.3.2 Literary stance

In cognitive poetics, cognitive stance refers to the placement of the reader in the reality of the text by following specific cues (e.g. Stockwell, 2002). Nevertheless, for the purposes of this study I will look at the notion from a more broad perspective, as it was expressed by Wagner (1983). Wagner defines cognitive stance as 'a readiness to accept things, to deal with things (processes, events, people)' (102) and he goes on to explain that a person adopting a cognitive stance sees 'whatever it is that warrants attention amongst the many visible objects from his vantage point' (102). Adopting a stance requires a certain state of mind, which would allow the individual not only to focus on the phenomenon but also to experience it in a certain way. This way, individuals are able to activate specific cognitive tools that not only facilitate the processing of the information of the text but, most importantly, direct the detection of genre-specific pieces of information. Thus we can say that readers unconsciously seek a particular set of phenomena, on which they focus their attention. Moreover, Wagner claims that this state of mind allows individuals to experience these phenomena in a certain way. The experience can have many facets and of course varies greatly from one individual to another. This approach also allows for the inclusion of more impressionistic and subjective readings and interpretations. It

should be stressed that this ‘positioning’ of the reader’s mind is not specific to literary genre but takes place on any reading occasion. Readers position themselves differently when encountering a newspaper article, an advertisement or a poem. This way they can focus their attention on the genre-specific elements of each text.

Returning to the process of reading literature, I argue that readers are capable of adopting a particular type of cognitive stance, which enables them to engage with this genre and of course its sub-genres. This type of stance can be identified with the *literary stance*, as it is specific to the experience of reading literary texts. Lamarque and Olsen (1994) have stressed that ‘[a]dopting the literary stance towards a text is to identify it as a literary work and apprehend it in accordance with the conventions of the literary practice’ (59). It can thus be suggested that adopting the literary stance refers to the readers’ cognitive ‘positioning’, which occurs when they start reading and accompanies them throughout the reading experience, allowing them on the one hand to recognise the genre-specific information, and on the other to relate what they are reading with their experiences. The latter is highly important, since this way it becomes possible for them to enrich their reading with elements absent from the text, thus creating an interrelating nexus comprised of different types of knowledge and the elements of the literary text. The identification of familiar features may facilitate the readers’ *engagement* with the literary text. Their engagement with the text is also a function of cognitive stance, which prompts them to accept the reality of the fictional world. Literary stance may be associated with an ‘openness’ resulting from this engagement, as the more engaged readers become with the fictional world the more ‘open’ they are to connect with it. In other words, readers are more likely to experience the world of the narrative and to immerse themselves into it if they have adopted the literary stance.

The discussion of cognitive stance would be incomplete without a reference to Fowler's *mind-style* (e.g. 1977, 1996). Fowler (1977) uses this term in order to describe the way that linguistic features of a text can project particular world-views. He draws on Halliday's analysis of Golding's *The Inheritors*, where Halliday argued that the restricted vocabulary of the characters of the first part of the book reflects their limited understanding of the everyday concepts and sense of causation. The central character, Lok, is a Neanderthal man, who fails to grasp how the world around him works and how humans can control it. Fowler focuses on aspects of *vocabulary, transitivity* and certain *syntactic structures* in order to present how a variety of mind-styles can be manifested. He points out that mind-styles can be attributed to authors, characters or narrators but his analysis focuses particularly on those of first-person homodiegetic narrators and characters (Fowler, 1977). Semino (2002) distinguishes between the ideological point of view, which refers to a character's social, cultural, religious and political views, and their mind-style, which is the more individual subjective viewpoint. McIntyre (2006) claims that it can be difficult in practice to draw the distinction between ideological point of view and mind-style. Nevertheless, the distinction becomes useful when discussing mind-styles that 'deviate from normal assumptions' (McIntyre, 2006: 144).

When examining literary stance, a central idea was that of the 'positioning' of readers. One can observe certain affinities with the notion of mind-style, as in both cases readers are invited by the text to partake of a 'set of values, or belief system[s]' (Fowler, 1996: 165). Both literary stance and mind-style invite readers to experience the text in a certain way. However, it should be stressed that literary stance is a higher, overriding principle that eventually determines the way the text is read. As Stockwell (2009) notes, the reader's viewing position is necessary in order to

understand the viewpoint of a character. It is essential for readers to adopt a literary stance as a first step as it will enable them to better understand and become involved with the particular worldview. While mind-style is a term primarily used in narratology to describe an aspect of point of view, literary stance is a much broader concept delineating the entirety of the cognitive processes taking place when individuals start reading a literary text. It is a *sine qua non* condition for the successful involvement with the text.

To sum up, readers approach literature having certain expectations concerning the genre in general, and the specific sub-genres they encounter. These expectations are manifested by assuming a particular type of cognitive stance, i.e. literary stance. Literary stance has a multi-dimensional role, since it allows for the recognition of the genre-specific elements and it facilitates the relation of the text with personal experiences, and subsequently the positioning of the reader within the described worlds. For these reasons, the readers' ability to adopt it should be seen as an indispensable part of the reading process.

3.4 Background knowledge and reading

As the importance of genre emerges in the discussion of the readers' expectations and the way they position themselves in relation to a given text, there is another parameter that comes into play. Langacker (2008) has linked the idea of genre to schematised knowledge and has noted that the individual's knowledge of a genre comprises a set of schemata formed from encountered instances. Commonalities regarding different structural facets are represented in each schema. For example, schematised information can be about the global organisation of the genre, or about more local structural properties such as the typical content, matters of style and register. The role of schemata in reading literature has been recognised and has

attracted the attention of a number of scholars (e.g. Cook, 1994; Culpeper, 2001; Stockwell, 2002; Semino, 1997). One particular facet that will be central in my account of intertextuality is related to the stylistic features that are commonly encountered within a specific genre.

The process of reading literary texts can be described as a multifaceted interaction between texts and humans. On the one hand, texts are complex entities comprised of words, phrases, sentences, paragraphs, chapters, pages and so on. On the other hand, human beings are the complex compilations of their own minds and bodies. When encountering a text, they put in use the entirety of their mental faculty in order to understand and interpret it. Langacker (2008) makes a similar distinction between two broad categories of knowledge, namely linguistic and extralinguistic knowledge. The former is the type of knowledge which underlines the use of language and the latter encompasses the remaining types, including perceptual, social and cultural knowledge. All these types of knowledge are employed by individuals while reading literary texts and form the basis of their engagement with the texts.

3.5 Intertextuality as a cognitive phenomenon

The aim of this section is to set the basis for the account of intertextuality as a cognitive phenomenon that manifests itself when individuals read a literary text. I will look closely at the notion of 'intertextual knowledge' and define the types of background knowledge that qualify as intertextual.

3.5.1 The Nature of intertextual knowledge

In general, intertextual knowledge refers to the particular type of knowledge individuals possess as a result of their engagement with literary texts. Intertextual knowledge is mainly activated while reading a literary text but it may surface in

other contexts as well, when references are made to literary texts or entities. I suggest that intertextual knowledge can be divided into two broad categories, the *thematic* and the *stylistic*. Thematic intertextual knowledge can be further subdivided into *topical* and *semantic* intertextual knowledge. Topical intertextual knowledge refers to the information individuals possess concerning literary works as a whole. Readers may have stored information about specific characters, their actions and their relationship with other characters in a particular piece of work, the places mentioned in it as well as the era it was placed. For example, after reading Eco's (1983) *The Name of the Rose* a reader may remember the main protagonists, such William of Baskerville, Adso of Melk, and Jorge de Burgos, and the fact that the tragedy takes place in an Italian monastery. This type of intertextual knowledge is associated mostly with fiction, drama or long poems. On the other hand, semantic intertextual knowledge refers to the information individuals may possess concerning shorter forms of poetry such as sonnets, odes or haikus. In this case, readers may have stored information concerning the topic of the poem, the central idea and even remember specific lexical occurrences.

Stylistic intertextual knowledge is the other broad category of intertextual knowledge. This may refer either to the schematised knowledge regarding the characteristics of a particular subgenre, like the sonnet, or to specific phrases that have acquired a formulaic nature, such as 'To be or not to be', 'Brave new world' or 'Now is the winter of our discontent'. The major characteristic of these phrases is that they originate from canonical and famous works of literature and they have become *stagnated* (Plett, 1991) or *lexicalized* (Hohl Trillini and Quassdorf, 2010) (see section 6.2.3). At this point we can observe that intertextual knowledge comprises both extralinguistic and linguistic aspects. This is in accordance with

Langacker's proposal that knowledge should be considered a continuum, a gradation (2008: 37) with the linguistic and extralinguistic aspects seen as its extremes. It follows from this that a range of domains of mental experience may be cued up linguistically but may also offer access to extralinguistic information; for instance, information about *The Odyssey* may be cued up when encountering the lexical item 'Odysseus', which at the same time gives rise to linguistic information, i.e. male proper name of ancient Greek origin.

Concerning its formal characteristics, intertextual knowledge is described as *open-ended, private and structured*. Its open-endedness results from the fact that new information is acquired all the time, as individuals are continuously engaged with literary reading. Similarly to other types of knowledge, new elements become part of an individual's inventory throughout his or her life, so the possibilities of intertextual knowledge activation are practically infinite. It is *private* in the sense that it contains information that may vary greatly from one individual to another. Not only have readers encountered different texts but also the memories they have from them vary greatly. Unlike general knowledge, knowledge associated with literary reading is not so easily accessible to all the members of a community. In addition, as literature itself is seen as a subject on which expertise can be sought, there are members in each community who are considered more trained readers, as a result of their formal education. It is thus expected that the intertextual knowledge of these individuals is richer than that of others who have not undertaken similar 'training'. Research has shown that the way trained readers approach literature differs considerably from untrained readers (e.g. Bortolussi and Dixon 1996; Dorfman, Graves and Frederiksen 1991; Peskin, 1998). This is related to Culler's literary competence and also to what Eco has termed 'intertextual competence' (1979: 21, see also McCarthy and Carter,

1994; Turski, 2001). Privacy has another aspect reflecting the personal preferences of individuals. Each person has different experiences and tastes, and therefore different textual elements will have an impact on his or her reading. The notion of privacy brings forward Langacker's distinction between *localised* and *distributed* knowledge. Localised knowledge is seen as contained in the minds of individual speakers, while the latter is understood to be distributed over a *discourse community* (e.g. Swales, 1990).

A third feature of intertextual knowledge is the fact that it is structured, as we saw above. In general, intertextual knowledge comprises previously encountered examples of literary language, plot or themes. More specifically, readers may store information concerning the characters of a book or its plot; they may remember the theme of a poem or specific lines or even stanzas. Readers may be able to bring to mind this information very precisely or they may have vague recollections. At the same time, it should be stressed that it is very difficult, if not impossible, to draw a line separating completely the different types of knowledge. They are intricately linked and, as literary reading does not take place in a vacuum, other types such as cultural or social knowledge may surface. Individuals are embedded in a certain context, be it cultural, socio-political, educational and so on, and they also have their unique personalities, memories, and perceptive abilities. All these parameters are crucial to the way people perceive the world and, by extension, the way they approach literature.

3.5.2 Intertextuality and other types of knowledge

We have seen in the first chapter, intertextuality has not had a fixed reference in the field of critical theory itself. It was proposed by Kristeva in a post-structuralist context but its use surpassed the boundaries of post-structuralism and nowadays the

term has acquired a much broader scope. Critics have come to use it to discuss a variety of dimensions of textual relatedness incorporating the study of allusion and quotation. Intertextuality has thus become an umbrella term accounting for the possible ways texts include or are included in others. It follows from this that as a result of its broader scope, there is a potentially vast amount of information that people see as intertextual, including elements from everyday life, historical references, social and cultural information (e.g. Genette, 1997a; Pfister, 1991). However, this very broad scope gives rise to limitations and creates difficulties when one tries to formulate a model accounting for the phenomenon. For this reason, it is necessary to exclude parts of the aforementioned information from the current account so that we can focus more closely on the literary aspects.

3.5.2.1 The case of social, historical and political information

Social, historical and political references are commonly found in literary texts and they can allude explicitly or implicitly to people in the public eye (e.g. politicians, philosophers, athletes, etc.) or events, such as revolutions, wars and celebrations. A case of the latter is Kipling's poem 'The Bells and Queen Victoria' (1911), where the tenth anniversary of the queen's death is commemorated. The queen, her death and the anniversary are clearly stated in the poem. Consequently, there is a clear reference to an event outside the boundaries of literary experience, so the activation of the relevant knowledge cannot be regarded as intertextual under the premises of the current account and it is seen as a contextual reference.

One of the many cases of implicit social or political information embedded in a literary text is Seamus Heaney's poem 'The Act of Union' (1975). The title is a reference to the acts passed in the British and Irish parliaments in 1800 uniting the two countries as the United Kingdom of Great Britain and Ireland. This is

represented in the poems as a sexual act where Britain and Ireland are personified and assume the male and female role respectively. Despite the fact that readers need to be aware and bring forth this piece of information, and the lack of such knowledge will definitely affect the understanding of the poem, this instance will not be regarded as a case of intertextual reading, since there is no activation of any other literary text. On the other hand, it is possible for a reader to connect this poem to Yeats' 'Leda and the Swan' (1923). Interestingly, in the two poems a similar scene is described, with the male figure forcing the female to a sexual act but also one can note further political implications of the events, i.e. the Trojan war and the formation of the United Kingdom. In this case the connection formed can be described as an intertextual link.

3.5.2.2 The case of cultural knowledge

The boundaries between cultural and social knowledge are difficult to draw. De Long (2004) defines cultural knowledge as the 'collective knowledge that is shared more broadly [than social knowledge] across an organization' (23). Peoples and Bailey state that cultural knowledge refers to 'the attitudes, ideas, beliefs, conceptions, rules, values, standards and perceptions and other information stored in people's heads' (2008: 23). Werth (1999) also describes cultural knowledge in terms of the types of knowledge available to members of social groups. Literary texts are cultural creations which have the potential of transcending the specific settings in which they are created. At the same time, they are endowed with the values, principles and beliefs of the society within they were produced. It is outside the scope of this project to investigate the effects cultural knowledge has on the reading experience. There is, however, a particular type of cultural knowledge that I wish to include in my

discussion of intertextuality primarily due to its intrinsic relationship with literature. This type of knowledge is related to mythology, legends and folktales.

One of the main characteristics of myths and mythology in general is the lack of authorship, the lack of an identifiable creator. Some of them are rendered to us by writers who transcribed them, such as Hesiod or Ovid, while others survive through oral tradition, become part of cultural memory and ensure its unity (Parts, 2008). Myths have become what Schöpflin (1997: 20) calls a 'set of ideas'; their origins are lost in time and are seen mostly as reflections of the religious traditions of particular cultures. In the past myths were passed on from one generation to another orally but nowadays they are mostly available in books and have become subjects of extensive anthropological and psychological studies. The lack of authorship also poses some questions, as it allows for the existence of many different versions of the same myth. Nevertheless, in some cases readers have had access to the myths indirectly through other literary texts and are thus capable of recognising the connection but cannot point to the original text. Indeed, literary critics point to the intricate relationship between myth and literature, such as Vickery (1966) who stated that myth is 'the matrix out of which literature emerges both historically and psychologically' (ix). Another important parameter is that the majority of scholars mentioned in the introductory chapter treat mythological allusions as instances of intertextuality and consider mythological references in their analyses (e.g. Barthes, 1975; Genette, 1997a; Plett, 1991). Riffaterre (1990a) pays particular attention to the 'mythological intertext' (62) and its role in prompting readers to construct intertextual connections. For this reason, I believe that intertextuality and myths are intrinsically linked and the role of myths in the creation of intertextual links should be investigated. In this thesis I will focus on myths of Greco-Roman heritage although there is a number of

other mythological traditions that have greatly influenced literary productions, such as Celtic, Norse, Indian and Persian myths among others. Moreover, the study presented in Chapter 7 discusses the creation of intertextual links based on the identification of an ancient Greek myth.

3.5.3 Intertextual frames

So far I have introduced the theoretical notion of intertextual knowledge referring to the various types of information readers may have stored owing to their engagement with literary reading. In this section, I will outline how this knowledge is processed online and how its incorporation leads to the creation of intertextual links. Intertextual knowledge is activated with the formation of *intertextual frames*. The term ‘intertextual frame’ (1979: 21) was first used by Eco (1979) in order to describe potential literary ‘topoi’ (1979: 21) or narrative schemes that readers pick up from the storage of their intertextual competence bringing to mind the notion of *schema* (e.g. Bartlett, 1932; Schank, 1982; and in cognitive poetics Semino, 1997). For Eco, intertextual frames are more reduced than the frames containing rules for practical life, i.e. common frames. It should be stressed that Eco’s view on intertextual frames equates schematized knowledge one may have with genre conventions and leaves out the possible connections that may result from a closer, more linguistically rigorous approach to the literary text. The latter, however, is a crucial way in which intertextuality is manifested. However, I will be using the term differently in order to describe the creation of an online processing domain, where information from the text is combined with intertextual knowledge; this combination brings about the phenomenon of intertextuality.

This online processing domain is created by two input spaces like those in Fauconnier and Turner’s (2002) *Conceptual Blending Theory* delineated in the

previous chapter. In the case of intertextual frames the input spaces contain two different types of information. One input space contains text-specific information while the other contains the reader's intertextual knowledge that may be associated with particular lexical items or stylistic elements of the literary text. Emmott (1997) proposed a similar model in her seminal work on narrative comprehension, where she examined how text-specific and general knowledge are brought together during the reading process. The two input spaces are combined into a blended space, which is termed *intertextual frame*. This blended space comprises textual and intertextual information, and the interaction between these two types of information influences the reading experience. The different types of intertextual frames will be discussed in the following section.

An illustration of how an intertextual frame may be created can be seen in the following excerpt from Luis Borges' poem 'El otro Tigre' (1960) translated by Alexander Coleman (1999).

The Other Tiger

And the craft createth a semblance
—Morris, *Sigurd the Volsung* (1876)

I think of a tiger. The fading light enhances
the vast complexities of the Library
and seems to set the bookshelves at a distance;
powerful, innocent, bloodstained, and new-made,
it will prowl through its jungle and its morning
and leave its footprint on the muddy edge
of a river with a name unknown to it
(in its world, there are no names, nor past, nor future,
only the sureness of the present moment)
and it will cross the wilderness of distance
and sniff out in the woven labyrinth
of smells the smell peculiar to morning
and the scent on the air of deer, delectable.
Behind the lattice of bamboo, I notice
its stripes, and I sense its skeleton
under the magnificence of the quivering skin.
In vain the convex oceans and the deserts
spread themselves across the earth between us;

from this one house in a far-off seaport
in South America, I dream you, follow you,
oh tiger on the fringes of the Ganges.

Jorge Luis Borges (1999, ll. 1-2, originally 1960)

In this poem an intertextual frame is likely to be created when a reader comes across the lexical item 'tiger' in the first line. A reader may bring to mind knowledge he or she has about previous occurrences of the lexical item in other literary texts. Let us suppose that Blake's poem 'The Tyger' (1794) is activated. Thus, a frame is formed comprised of the two input spaces, firstly text-specific information from Borges' first line and secondly the knowledge the reader possesses about the activated poem. The creation of the intertextual frame may have a significant effect on the reading experience as the particular reader may bring to mind his/her knowledge concerning the attributes of Blake's tiger. These attributes may in turn be projected onto Borges' creature and thus shape the reader's understanding of the animal. At the same time, the intertextual frame may remain activated and thus influence the interpretation of other textual elements in Borges' poem such as line 5 'it will prowl through its jungle and its morning'. Blake's line 'in the forests of the night' can be brought to mind creating a more complex matrix of intertextual relations.

It can be suggested from the above that intertextual knowledge calls for an autonomous account due to its unique characteristics. Firstly, although it is triggered by the text itself, it does not contain text-specific information about the characters, the places or the time of the text. The second reason is closely related to the first, i.e. this type of knowledge can be seen as a second level of semiosis. The creation of the intertextual frame results in the reader surpassing the primary meaning of the words and moving from the linguistic level towards a more abstract level of encyclopedic

knowledge. Nevertheless, it must be stressed that the primary meaning of the words is not only activated but also triggers this transition. The text-specific information triggers and gives rise to information not included in the text but stored in the individual's mind.

Another characteristic of intertextual knowledge is that it does not only apply to a particular text but has the potential of being triggered in numerous reading situations. For example, Blake's poem may be recalled in another instance, i.e. when reading Adrienne Rich's 'Aunt Jennifer's Tigers' (1951). This poem will be analysed in detail in the following chapter and I will show how the intertextual link between two texts can be sustained by a number of lexical items rather than the identification of merely one point of contact. Words from the same semantic field can be traced in both texts reinforcing the initial intertextual connection.

The last two features of the intertextual knowledge are mainly a result of its affinities with general knowledge. However, it must also be distinguished from general knowledge, which is seen more as an umbrella term for all the information we acquire through our interaction with the world surrounding us. It is interesting to note that Emmott (1997) distinguishes general knowledge from different types of knowledge acquired by school instruction implying the very existence of other spaces containing more specialised information. In addition, general knowledge as a domain contains a vast amount of information, most of which is not activated during our reading experience. Intertextual knowledge is acquired solely through literary reading, and it originates from the past reading experiences of each individual reader.

3.5.4 Types of intertextual frames

Previously, I distinguished between two different types of intertextual knowledge, the thematic and the stylistic, and their subtypes. Once these types are accessed, they give rise to intertextual frames. Thematic knowledge gives rise to *semantic intertextual frames* and *topical intertextual frames*, while stylistic knowledge to *stylistic intertextual frames* respectively. Semantic intertextual frames are prompted by the identification of specific lexical items in literary works, such as verbs or nouns. As will be argued in Chapter 4, words are seen not only as prompts for intertextual meaning creation but also as potential carriers of intertextual meaning *per se*. On the other hand, the construction of thematic intertextual frames is based on the identification of multiple semantic frames, as will be explained in detail in Chapter 5. This type of frame is a more complex structure, which may contain broader and more detailed information, such as the settings, events, and characters involved in specific texts. Stylistic intertextual frames, which will be discussed in Chapter 6, are triggered when a reader identifies instances of formulaic phrases or genre similarities between literary texts.

In general, the major feature of intertextual frames is not only that they contain stylistic or thematic knowledge but also that they provide the mental interface where stored knowledge and the literary text can interact. In other words, they act as knowledge depositories on which readers draw when reading a literary text. Using the literary text as their starting point, readers employ the frames they create while reading in order to have a richer and more textured approach. These three types of intertextual frames vary greatly in terms of the nature of the information they carry. For example, they may include detailed knowledge of the characters of a text or more vague impressions of the occurrence of a lexical item in a poem. In addition, they may also bear a significant role for the interpretation and

understanding of the text or they may have a more localized effect on the reading experience. Finally, one should be aware of the fact that their existence varies across individuals and their traits as readers. Each reader selects and stores different types of information from each text depending amongst other factors on his or her preferences, education level, familiarity with the text and so on. This selection results in the creation of particular intertextual frames, whose existence is a prerequisite for the identification of textual elements in subsequent reading experience. Depending on the types of frames created, readers are able to trace further elements ranging from nouns to similar fictional worlds. After their recognition, the common elements of the texts and the frames are brought together and the link between the two is established.

3.5.5 Literary stance and intertextual frames

Adopting a literary stance is a prerequisite for the emergence of intertextual links since the engagement with a literary text eases the retrieval of intertextual knowledge. In most cases this depends solely in the individual reader's disposition, but there are some poems which facilitate the activation of intertextual knowledge. Such an example is Borges' poem 'The Other Tiger' quoted above. In the first line of the poem 'I think of a tiger. The fading light enhances', the occurrence of the first person singular pronoun 'I' along with the verb 'think' may prompt a reader familiar with Blake's poem to perform the deictic shift, adopt the perceptual stance of the 'I' and see himself or herself as the deictic center of the poem. When reading the word 'tiger', he or she will indeed picture in his or her mind the image of the animal. This animal, however, does not roam in the wild and is not restrained in a cage but rather exists in verses of Blake's poems. This way the intertextual knowledge the reader possesses is triggered, an intertextual frame will be formed and associations with

Blake's work will surface. This is a semantic intertextual frame, as the word 'tiger' may act at a second level of semiosis and conjure to his or her mind the tiger from Blake's poem. This connection becomes possible due to the literary stance the reader has adopted and to the interaction between text-specific information and a particular type of background knowledge in the intertextual domain.

The fact that the first sentence of the poem carries so little information allows the readers to take advantage of its vagueness and construct their own interpretation of what 'tiger' stands for. Moreover, it is a very good example of how text-specific information can be combined with our general knowledge in the intertextual domain and can give rise to intertextual readings. Finally, it is interesting to note that if we read the complete poem, it becomes clear that the poet had in mind this idea of the double meaning the word 'tiger' may acquire and he refers to depictions of the animal in literature and written works in general, and the juxtaposition between art and reality. Borges interestingly has specifically referred to Blake's work in another poem, 'El oro de los tigres' (1972).

3.5.6 The features of intertextual frames

The notion of intertextual frame designates a mental construction, whose main features are bidimensionality and texture. The former refers to the ability of frames to combine concrete textual elements with knowledge structures. The latter describes the quality of the activated frames based on a set of criteria, as detailed below.

3.5.6.1 Bidimensionality

Intertextual frames are bound to have a bidimensional outlook due to their nature, as they are created by the combination of elements from both the intertextual knowledge space and the text-specific space. On the one hand, intertextual knowledge is of a highly idiosyncratic nature due to the fact that it builds on each

individual's pre-existing reading experience. It is more difficult to account for this type of experience, as it is far more specialised than general knowledge and depends primarily on the individual, his/her educational level, personal preferences and whether or not he or she has received any kind of formal training.

If one input space is intertextual (and by extension individual) knowledge, the second input space is a fixed and unchanging one, that is the text itself. The text is a static entity, a constant to which all individuals have access alike. Its elements remain the same regardless of who approaches it. At the same time, its existence is a precondition for the emergence of intertextual frames, since they cannot surface without the prompt from textual cues. However, what changes in the case of intertextuality is that different words or phrases will attract the attention of different readers and thus different words or phrases will act as triggers for different types of intertextual knowledge. It is the stored knowledge of the individual that determines the possible intertextual connections. A final remark would be that these two dimensions of the intertextual domain come to interact during an online reading process. Intertextual knowledge can be activated and connected with the given text only when the individual is involved in the reading process.

3.5.6.2 Intertextual texture

The second feature of intertextual frames is their *texture*. The current use of the term should be distinguished from Halliday and Hasan's (1976) concept of texture, i.e. the property that distinguishes between text and non-text. The use in systemic functional linguistics refers to the elements that hold the clauses together and give unity to the texts. Texture operates in two dimensions: the level of coherence, which refers to the text's relationship with the extra-textual (social and cultural) context, and the level of cohesion, that is the textual elements and their relationships that bind the text

together. More recently, Stockwell (2009) used the term texture in the context of cognitive poetics to describe ‘the experiential quality of textuality’ (14) combining traditional linguistic description with cognitive scientific accounts. According to Stockwell, the textural experience of reading cannot be accounted for with a ‘purely textual description nor by purely psychological modelling’ but ‘a ... holistic blending of both aspects’ (15) is necessary in order to account for texture.

My use of the term ‘texture’ should be distinguished from Stockwell’s approaches as well. I will employ the term ‘texture’ as a means of determining the quality of the activated frame by examining particular traits and the effect the activation has on the reading process. The quality of the frame depends on its two constituent elements, the text-specific information and the intertextual knowledge. Unlike bidimensionality, texture should be seen as more like a *continuum* with four criteria describing the quality of frames. These four criteria are *textuality*, *specificity*, *resonance* and *granularity* and they serve as criteria for assessing the quality of the process of intertextuality. For this reason, they need to cater for both the textual and the readerly aspect of the phenomenon. Concerning the textual aspect, textuality and specificity have the text as their source; in other words, they are text-driven. Both the text and textual occurrences (more or less pronounced) are their central consideration. On the other hand, resonance and granularity are primarily readerly-driven, being generated by readers’ experiences. It is the individual reader and his or her own experiences that regulate the amount of intertextual knowledge which will be linked to the textual occurrence and whether the effect of the activation will be lasting or not. Textuality and specificity arise from the interaction between textual elements and readerly experience and the textual elements are a *sine qua non*. Resonance and granularity rest almost uniquely upon the readers’ cognitive

mechanisms and webs of associations. Thus, this binary composition further exemplifies the two-dimensional aspect of the information integrated in intertextual frames. We can represent the relationship of the factors in the Figure 3.1.

More specifically, *textuality* refers to whether the activation of the intertextual knowledge results from a particular element of the text that can be pinned down by the readers or whether it is a result of a larger scale effect the text had on them. Consequently, we can talk about cases of *strong textuality*, where the intertextual link is a result of one or more text-specific elements, or cases of *weak textuality*, where the activation of intertextual knowledge is the outcome of a vaguer, more specialised process. In the latter, readers are not able to point to particular textual occurrences as the text-specific activators of intertextual knowledge but still are able to create an intertextual link based on what we may call the general texture of the text itself.

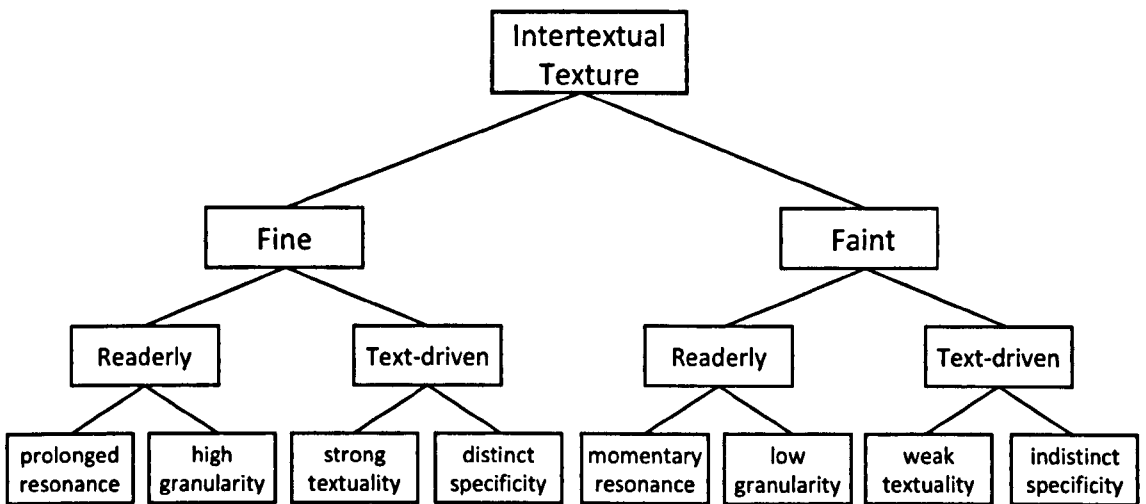


Figure 3.1 Fine and faint intertextual texture

The second criterion, related to textuality, is *specificity*. However, in contrast to textuality specificity is related to the *outcome* of the activation process, namely whether the generated background knowledge is closely related to a specific literary text, which the readers have previously encountered, or if readers are unable to

identify such a text and are left with a vague sense of familiarity. When the former is the case, we may talk about *distinct specificity* as opposed to *indistinct specificity* when the readers have the feeling of vagueness.

Texture is the effect that the activation of the intertextual knowledge has on readers and should be distinguished from Stockwell's (2009) model of resonance which describes 'a textured prolonged feeling' (15) of significance and salience created in readers during the literary experience. More specifically, it designates whether the effect of the creation of the intertextual frame is *prolonged* or *momentary*, that is whether the new intertextual link will have a lasting effect on the reading experience or if it will fade away and be neglected soon after its creation. Resonance as a feature of texture has very important implications for the reading experience as well as for readers' involvement with the text. The final feature of texture is its *granularity*. Granularity refers to the quantity and detail of background knowledge that is activated. Readers may be able to recall very specific elements from previous texts, such as word occurrences or phrases, and connect them with the current text. In this case, granularity can be described as *high*. However, another possibility is that they are able to locate some vague similarities, which are only remotely related to the text or the word or phrase that prompted the activation of the intertextual knowledge delineating, thus, the degree of granularity as *low*.

Finally, it was mentioned above that intertextual texture should be seen as a continuum with the above criteria determining its quality. *Fine intertextual texture* and *faint intertextual texture* are the extremes of the axis respectively. The former is characterised by strong textuality and distinct specificity on the one hand, and by prolonged resonance and high granularity on the other. The latter is characterised by weak textuality, indistinct specificity and by momentary resonance and low

granularity as can be seen in Figure 3.1. As these are the extremes of the spectrum, the quality of specific cases is situated within these boundaries. When analysing the results of the study in Chapter 7, I will present in detail how this model of texture can be applied in order to account for the quality of the intertextual frames constructed by the participants.

a. Fine intertextual texture

In this section I will present an example of a fine intertextual reading. I would like to stress that the following analysis resembles more an idealised reading than one based on an actual reader's response. However, it serves as an example of what types of connections can be established and how readers may respond to the elements present in a text. The following lines come from T.S. Eliot's poem 'The Love Song of J. Alfred Prufrock':

There will be time, there will be time
To prepare a face to meet the faces that you meet;
There will be time to murder and create,
And time for all the works and the days of words

T.S. Eliot (1917, ll. 26-29)

We saw above that fine intertextual readings have as their major characteristic their strong textuality and distinct specificity. In other words, this means that readers are able to point to specific words or phrases of the text that give rise to intertextual connections and that the evoked text is also clearly identified. Therefore, in this extract, if a reader identifies the phrases 'there will be time' (repeated three times), 'murder and create', 'the works and the days' as intertextual links, it means that intertextual knowledge is *strong* in terms of its textuality, since it is activated by particular textual elements. Specificity is related to the quality of activated intertextual knowledge, so for the generation of fine intertextual reading an

individual should be able to clearly identify the text activated. More specifically, 'there will be time' can be related to Marvell's poem 'To his Coy Mistress' (1681); 'murder and create' may bring to mind a biblical reference to Ecclesiastes, namely 'A time to kill, and a time to heal; a time to break down, and a time to build up' (King James Version, Ecclesiastes 3:3); 'the works and the days' as a reference to the title of Hesiod's poem *Works and Days*. Specificity and textuality are the text-driven criteria for the quality of intertextuality.

When it comes to the effects the recognition has on a reader, prolonged resonance and high granularity were identified as the conditions for fine intertextual readings. In the above examples, high granularity readings could be generated if a reader relates the content of Marvell's and Hesiod's poems to these verses and to the content of the poem as a whole. In addition, high granularity is generated if they are able to bring to their minds the exact lines from 'To his Coy Mistress': 'Had we but world enough and time' (l. 1). Prolonged resonance is related to the general effects the identification has on readers and their understanding of the piece of literature in the light of the intertextual identification. For example, the identification of the theme of 'Time' and its connection with Marvell's poem may have a lasting effect on a reader and it will be activated in the other instances where the lines are repeated or a reference to time is made.

b. Faint intertextual texture

On the other hand, faint intertextual texture is characterised by momentary resonance and low granularity. In the particular extract above, this means that a reader will not be able to bring to mind particular lines and activate text-specific information related to the lines encountered. If we take 'there will be time to murder and create' as an example, the line may be identified as a general religious reference but it might not

be linked to more detailed background knowledge or other textual occurrences. As far as resonance is concerned, as such a reader will not have established strong links, it is likely that the lines will not have a significant effect in later stages of the reading. Consequently in this example the religious reference will not influence the subsequent reading experience. Another characteristic of dim intertextual texture is its indistinct specificity, as the activated knowledge cannot be linked to a particular text but a reader may have a vague sense of familiarity. At this point, it becomes apparent that indistinct specificity and low granularity are strongly correlated notions, since, when readers are not able to identify a source text, they cannot recall specific textual elements either. Finally, the last criterion is textuality which in this case is weak. In other words, this means that a reader is not able to point to specific lexical items that would give rise to intertextual knowledge and frames.

This brief discussion of fine and faint intertextual texture aimed at illustrating how the theoretical notion can be applied. My purpose is to be able to use this continuum and the criteria proposed as a means of assessing the intertextual links created, in the rest of this thesis.

3.6 Review

The primary focus of this chapter was to present the theoretical underpinnings concerning the nature of intertextual knowledge which would allow me to set the basis for the further discussion of the creation of intertextual readings. I began with a brief account of the notion of genre and how it has been linked with cognition. I argued that readers adopt a literary stance, which facilitates their engagement with the texts and also prompts the activation of intertextual knowledge. My main argument was that intertextual links are formed when text-specific information is combined with intertextual knowledge, following the proposal of Emmott (1997) and

Fauconnier and Turner's Conceptual Blending Theory (2002). Finally, another important notion was that of texture and its criteria for assessing the quality of frames. In the following chapters, I will concentrate on each frame separately and propose detailed cognitive accounts of their creation. Chapter 4 first presents a close discussion of semantic intertextual frames.

4 Semantic intertextual frames

4.1 Introduction

In the previous chapter I concentrated on intertextual knowledge and the ways it is stored in different intertextual frames. In this chapter I will elaborate on the nature of a particular type of frame, the semantic intertextual frame, clarifying how these are created and activated when reading literary texts. I will be drawing mostly on Vyvyan Evans' (2006, 2007, 2009) theory of Lexical Concepts and Cognitive Models (hereafter LCCM theory). This theory is selected because it is the most comprehensive account of the role of lexical concepts in meaning construction. It builds on the theories introduced in Chapter 2, namely Fillmore's *frames* (e.g. 1982, 1985) and Langacker's *domains* (e.g. 1987) but at the same time it offers a more clear account of word-meaning suggesting that it may be influenced by a variety of factors.

It has been stated previously that semantic intertextual frames will be approached in terms of the semantic properties of words, viewed however in the light of cognitive linguistic principles. As semantics and word-meaning play such an important role in the current chapter, I will start off with a very brief overview of how the study of meaning has developed throughout the years. This way I wish to highlight the advantages of cognitive linguistics and argue in favour of the selection of LCCM theory. After this brief introduction, I will explain the basic concepts of LCCM theory and then will move on to its application in my discussion of intertextuality by developing the theoretical underpinning of the framework. Afterwards, I will present the two routes that afford access to semantic intertextual

frames, namely a direct and an indirect one by drawing on a number of literary texts. Finally, I will refer to the features defining the quality of semantic intertextual frames and conclude the chapter with a discussion of the notion of texture and its relation to this type of frame.

4.2 The study of meaning

4.2.1 Traditional views

This section aims at providing a very brief overview of some basic principles of semantics. As the focus of the chapter will be on the semantic aspects of intertextuality, this will allow me to trace the differences between a cognitive linguistic approach and more traditional ones. The major aspect around which the overview revolves is the dual nature of meaning that many theorists have supported. One manifestation of this duality is the distinction made between sense and reference. During the twentieth century a number of philosophers attempted to provide an account of what constitutes the meaning of words and sentences. ‘Ideal language philosophers’ like Frege (1975), Russell (e.g. 1973) and Tarski (1956) argued in favour of its compositional nature, claiming that meaning actually reflects reference. On the other hand, ‘ordinary language philosophers’, such as Austin (e.g. 1955), Searle (1969, 1979), Strawson (e.g. 1950), and the later works of Wittgenstein (e.g. 1953) argued in favour of situated language use and for context-specificity. These two opposite views were brought together by Grice’s (1989) claim for the existence of two different types of meaning, i.e. sentence and speaker meaning, which can be seen as the basis of the distinction between semantics and pragmatics in modern linguistics. Reference is now closely associated with pragmatics. More specifically, Lyons (1977) defines reference as an utterance-dependent notion usually

under the form of definite noun-phrases, proper names and personal pronouns. Any of these referring expressions point to a *referent* (Lyons, 1977: 177), or in other words, objects or states-of-affairs situated in the external world and identified by means of aforementioned words and expressions. 'Sense', on the other hand, has been used by philosophers and linguists to describe simply the meaning or else the descriptive meaning, which, interestingly, Lyons also called cognitive meaning (1977: 197).

The distinction between semantics and pragmatics has led to a further division between the *denotational* and *connotational* aspects of meaning. Lyons (1977) defines denotation as the relationship between lexical items and persons, things, places, etc. external to the language system, 'a relation that applies in the first instance to lexemes and holds independently of particular occasions of utterance' (208). Denotation differs from reference, since it is not bound to a specific context. Rather, the denotation of lexical items determines their reference when they are used in referring expressions. Nevertheless, Lyons stresses that the distinction between the two notions does not imply that they are unconnected: '[w]hatever may be referred to in a given language is generally within the denotation of at least one, and usually several ... [lexical items] in that language' (Lyons, 1977: 208). Connotation, on the other hand, refers to the signification of the attributes of a subject, which should be seen as something additional to the denotation of all the subjects possessing these attributes. Connotations attributed to lexical items may vary amongst individuals but are usually relatively constant within particular language communities. A final comment is that 'sense' and 'reference', 'denotation' and 'connotation' have affinities with the extensional and intentional definition of terms. The former is related to 'the class of things to which it is correctly applied', while the latter to 'the

set of properties which determines the applicability of the term' (Lyons, 1977: 159-60).

4.2.2 Cognitive approaches to word meaning

As we saw in Chapter 2, cognitive linguistics rejects the division between sense and reference and by extension connotation and denotation. Instead of clearly defined boundaries, cognitive linguists prefer to talk about a gradation of meaning and the binary distinction between pragmatics and semantics is deemed non-existent. However, some cognitive linguists like Talmy (2000a) or Langacker (1987) have made another kind of distinction between two types of conceptual knowledge: rich and schematic. Langacker does not clearly refer to this distinction but it is implied in his work (e.g. 1987), while Talmy (2000a) introduces the terms *closed-class items* associated with the closed-class system, or our schematic knowledge, and *open-class items* associated with the lexical subsystem. An illustration can be given by the following:

a) **The students opened the books.**

The bold elements (the, -s, -ed) are considered to be closed-class items associated with the grammatical subsystem bringing to mind the traditional distinction between bound and free morphemes. In contrast, *student*, *open*, *book* are open-class items and their semantic contribution is tied to the nature of the participants involved, the relationship between them and the action described. They are also associated with the lexical subsystem and they contain information about the nature of the participants, scenes involving the participants and the states and relationships that hold among them. On the other hand, closed-class items contain information relating to the structural aspects of the experiential context. It follows from this that the level of detail attached to the former is much greater and it may

encode social, physical, and interpersonal functions as well as perceptual information.

Cognitive linguistics has also introduced another aspect of word meaning, namely the *semantic potential of words* (e.g. Evans, 2009). Semantic potential has been defined 'in terms of a set of source-situations, ... [which are] situation[s] that a speaker has learned to associate with a term' (Bezuidenhout 2002: 116). Evans defines it as 'the body of knowledge, in the sense of a sophisticated range of scenarios and events that [a word] can applied to' (Evans, 2009: 11). The meaning of a word is a function of '(sentential) context which guides the encyclopaedic knowledge' (11) to which a word relates in a given instance of use.

Evans grounds his proposal on the work of the cognitive psychologist Lawrence Barsalou on knowledge representation (e.g. 1999, 2003). Barsalou introduced the notion of *simulators*, an organised system in long-term memory, where perceptual symbols are stored; simulators are equivalent to the notion of *concept*. Although his work focuses primarily on perceptual symbols, Barsalou claims that there are similarities with linguistic symbols. They are both schematic memories of a perceived event and they are both developed when selective attention focuses on written and oral words. Simulators for words 'become associated with simulators for entities and events to which they refer' (Barsalou, 1999: 592) and, while some are connected to entire entities or events, others are connected to subregions and specialisations. Moreover, other aspects of simulations can be associated with simulators for words, such as manners, relations, or surface properties. In his earlier work, Barsalou (e.g. 1992) discussed the ways semantic fields are produced. 'Within the simulator for a concept, large numbers of simulators

for words become associated with the various aspects' (Barsalou, 1999: 592) and thus, the semantic field, that mirrors the underlying conceptual field, is produced.

Zwaan (2004) has elaborated on Barsalou's ideas and has developed a language-processing model called the Immersed Experiencer Framework (IEF). The model is based on the principle that 'words activate experiences with their referents' (36). This idea is very closely related to the notions of simulators and how language provides prompts for simulations. Consider my example:

- b) The player was expelled after receiving a second yellow card.
- c) Yellow leaves were covering the path.

In both cases, the lexical item 'yellow' will activate visual representations of the range of colours called 'yellow'. At the same time, the next content word limits this range to two sorts of sensory experience, namely a vivid yellow in (b), while (c) is closer to a brownish colour. Consequently, the colour yellow has a relatively large semantic potential, part of which is related to the hues in the colour spectrum. In accordance with Barsalou's model, Zwaan stresses that these representations are necessarily schematic due to the ways languages direct attention to some aspects of the situation (Langacker, 1987), due to the limitations imposed on our perception by our attentional capacity (e.g. Barsalou, 1999, Rensink, O'Regan, and Clark, 1997) and finally due to the economy of processing used by the perceivers.

In addition, the IEF distinguishes three steps in language comprehension, namely *activation*, *construal* and *integration*. They operate in word, clause and discourse level respectively. We should bear in mind that Zwaan proposed this model in the general field of perceptual representation, which assumes that 'reading and hearing a word activates experiential representations of the words (lexical, grammatical, phonological, motoric, tactile) as well as associated experiential representations of their referents -motor, perceptual, and emotional representations-

and often combinations of these' (Zwaan, 2004: 38). Pulvermüller (1999, 2002) has claimed that a word activates functional webs of neurons located throughout the cortex, and these webs are activated upon the experience of the word's referent. In Zwaan's framework, this is equated with the first step of the comprehension process, i.e. activation. The second step refers to 'the integration of functional webs in a mental simulation of a specific event' (2004: 40) and it is termed construal. The third step is termed integration and refers to the transition from one construal to another. The scenes described can be either static, where the transitions are perceptual and mostly visual, or dynamic. In this case the experiencer is strictly an observer.

Evans (2008, 2009) terms Zwaan's approach a *simulation semantics* in order to stress the role that simulators play in the activation of word meaning. This approach to language comprehension derives from the long tradition of research in situated language comprehension, such as Kaup and Zwaan (2003), Zwaan, Madden and Whitten (2000), and Bergen and Chang (2005). The importance of this approach for this thesis is, as Evans (2009) points out, namely that 'the semantic potential associated with words is primarily non-linguistic in nature' (70). In the above example, the word 'yellow' does not designate purely linguistic knowledge, as two different mental representations of yellow are prompted. According to simulation semantics, 'yellow' provides access to perceptual information and knowledge and this information can be reconstructed or simulated. Barsalou's account presented above demonstrates in a comprehensive way how the simulation occurs. The idea that the semantic potential of words can go beyond linguistic knowledge is a central concept in the current model and it is further developed in later sections of this chapter.

4.3 Word meaning and intertextuality

After introducing the more traditional views on word meaning along with more recent ones based on developments from the field of cognitive linguistics, I would like to focus on how intertextuality can be approached using a cognitive linguistic theory. The reason for this is that traditional approaches to word meaning have a narrow view of what falls under their scope. On the other hand, cognitive linguistics argues in favour of a more inclusive attitude that takes into consideration the context of use as well as the non-linguistic knowledge of the individual.

The first concept we should focus on in order to approach intertextuality from a cognitive perspective is the *semantic potential of words*, as proposed by LCCM theory. To recapitulate, the semantic potential of a word refers to the word's ability to guide readers towards the activation of aspects of their encyclopaedic knowledge and to provide access to a range of scenarios previously associated with the particular word.

This view of the semantic potential of words does not, however, bestow the role of meaning creation upon words. Rather, it points to readers' ability to make associations and activate them in a given context. This ties in with the claim made above that intertextuality should not be considered a property of the literary text but should be attributed to the individual reader. In the models of Barsalou and Zwaan, semantic potential occupies a central role especially when it comes to explaining the non-linguistic aspect of knowledge associated with words. It should be stressed here that it is the experiencer who is capable of perceiving and storing as significant, e.g. the various shades of yellow, so the mental representations of the colour may differ from one individual to another. Similarly, the different reading experiences that readers have result in the storage of different types of encyclopaedic knowledge and

mental representations of works and thus the potential creation of different intertextual connections.

Consequently, in order for the semantic potential to be activated three conditions need to be fulfilled. The first is the presence of the necessary contextual factors, or else the linguistic cues that will serve as *vehicles* for accessing the depositories of encyclopaedic knowledge. The second parameter is the existence of the necessary encyclopaedic knowledge that can potentially give rise to intertextual connections. In our case this type is intertextual knowledge, which was modelled in detail in Chapter 3. Primarily, the emergence of intertextual connections should be sought in the interaction between *contextual factors* and the *encyclopaedic knowledge* of the individual. All the same, the semantic potential of the words is also fostered by the third parameter, the *extra-linguistic* context, which includes factors above the language level, such as the medium through which the event is mediated (e.g. poem, prose, spoken lecture versus newspaper article or advertisement on TV), the genre, and the time and place of the event. In Chapter 3, it was argued that readers are more likely to adopt a particular cognitive stance, which was identified as literary stance, when they are reading a literary piece of work. This allows them to adjust their reading and interpretation to the 'location' where the utterance occurs. As an illustration, recall Fauconnier and Turner's (2002: 25) example used previously (2.2.1)

- d) The child is safe.
- e) The beach is safe.
- f) The shovel is safe.

In this case, the word *safe* is employed in the context of a child playing on a beach. In the first example, the meaning is that the child is not facing a danger. However, the meaning of the other two sentences is not that the beach or the shovel

will not come to harm. Instead, in order to interpret the utterances, individuals need to take into consideration the extralinguistic content. In a literary context, I am arguing that a similar kind of processing takes place aiding the readers to select the appropriate interpretation of the lexical vehicles. The process is similar, since it involves the selection of a specific facet of meaning from a pool of choices. However, the facet selected is characterised by an *indirect* relationship to the vehicles, as opposed to the direct one, illustrated in the previous example. The idea of directness and indirectness in accessing various facets of meaning will be central in my approach to intertextuality and it will be further explained in the following sections.

4.3.1 Syllepsis

At this point, I wish to return briefly to literary theory and more specifically to Riffaterre's (1980b) view on intertextuality. It was mentioned in my introductory chapter that he has defined the notion as 'a modality of perception' (1980b: 625). This idea is very closely related to the argument I made previously about readers' ability to adjust their cognitive stance according to the context. Intertextual meanings may result from their adjustment of perception. In addition, in the same article Riffaterre elaborates on the notion of *syllepsis*, which is defined as 'a word understood in two different ways at once, as meaning and as significance' (1980b: 638) or else 'as *contextual meaning* and *intertextual meaning*' (637, Riffaterre's italics). Individuals are seen as able to attribute two 'values' to words, namely a literal and intertextual one. The French theorist seems to intuitively adopt an approach which is closer to a cognitive-linguistic outlook than a semiotic one. On the one hand, he makes the connection between intertextuality and word meaning, while on the other, he offers an explanation for the way intertextual meanings are

produced, i.e. by implying that individuals can process words simultaneously at two levels. The terms ‘contextual’ and ‘intertextual meaning’ seem to imply this binary process.

Riffaterre’s view concerning the binary aspect of meaning has also been adopted by other theorists, as seen in the introductory chapter. Carmela Perri (1978) suggested that allusions specify properties of connotation, which are tacitly specified despite the fact that they remain unexpressed. Alluding markers have at least a double referent, ‘which signifies un-allusively, within the possible world of the literary text’ (295), and allusively, ‘to one or more texts outside its context’ (Perri, 1978: 295), or echo back a previous part of the text. Consequently, we can observe that Perri also proposed the existence of two levels of meaning, a double reference to the contextual meaning and to the intertextual one. Lennon (2004) also seems to presuppose the existence of two levels of meaning when he talks about *in praesentia* and *in absentia* units of language influencing the generation of phenomena of allusion. All these accounts share the idea of two distinct types of meaning associated with intertextual meaning generation. The model I will present in the following sections sustains the proposal of these theorists. Nevertheless, I will try to shed light on their insights by grounding my proposal in cognitive theories, mainly on Evans’ (e.g. 2006, 2007, 2009) LCCM theory, and explain how the double reference can be achieved.

4.4 An account of LCCM theory

4.4.1 Lexical concepts and cognitive models

LCCM theory was introduced by Evans in order to account for meaning construction based on two theoretical constructs, *lexical concepts* and *cognitive models*. The construct of lexical concept will be central in my approach to semantic intertextual

frames as it allows for an account of semantic units along with the conceptual content words may have. Evans (e.g. 2006, 2009) distinguishes between closed-class and open-class lexical concepts following the distinction by Talmy mentioned at the beginning of this chapter. The former solely encode schematic linguistic content while the latter are associated with rich linguistic as well as conceptual content.

Evans also draws on Lakoff's (1987) notion of cognitive models. According to Evans, cognitive models refer to a coherent body of knowledge of any kind and to the potential for simulations which may arise from specific bodies of knowledge. These coherent bodies of knowledge consist of individual frames or related frames. Two types can be distinguished, namely those which represent things and those which represent events. In relation to the model developed here their crucial characteristic is that they can be structured into *primary* and *secondary* cognitive models. Primary cognitive models are those which can be accessed *directly* via a lexical concept. On the other hand, secondary cognitive models are accessed directly via primary cognitive models and thus, *indirectly* via lexical concepts. The distinct primary models accessed by a lexical concept form a primary cognitive model profile. In addition, the secondary cognitive model profile consists of all the cognitive models which are not directly associated with a lexical concepts. However, Evans notes that 'they still form part of the semantic potential to which a given lexical concept potentially affords access, although there is not an established connection between the lexical concept and secondary cognitive models' (2009: 208).

To illustrate his model Evans (2006) offers the following example based on the lexical concept [FRANCE], which provides access to a potentially large number of knowledge structures. The primary cognitive models may include amongst others:

GEOGRAPHICAL LANDMASS, NATION STATE, and HOLIDAY DESTINATION.

These models may possibly contain a large number of knowledge structures, or else secondary cognitive models. For example, the primary cognitive model may afford access to secondary models which include NATIONAL SPORTS, POLITICAL SYSTEM and CUISINE. Evans notes that people may be familiar with the fact that the French engage in sports like rugby, football, athletics, and that they take part in competitions like the FIFA football world cup, the Olympics, and the rugby world cup. In addition, people may have even more refined knowledge concerning the social or economic conditions relevant to these particular sports as well as rules and practices that apply to them. All these pieces of information are available to us through a large number of sources. Secondary cognitive models can also serve as an access point to further cognitive models. Evans (2006) does not consider this category as subordinate to the secondary models and uses the same term in order to describe the information accessed. For instance, ELECTORATE, CONSTITUTIONAL SYSTEM, and HEAD OF STATE are all secondary cognitive models accessed through another secondary model, i.e. the (French) POLITICAL SYSTEM. Therefore, it can be seen that the knowledge associated with cognitive models is of a non-linguistic nature and it derives from the interaction of individuals with the world surrounding them.

4.4.2 Composition

After establishing the basic notions of LCCM theory, Evans moves on to describe how meaning is constructed or else how a particular 'reading' is achieved. By 'reading' he refers to 'a situated interpretation, specific to the context in which it is embedded' (2009: 218). The first step towards this is the *selection* of the appropriate lexical concept; this is followed by the integration with other lexical concepts in the

utterance. In the case of open-class lexical concepts, they are then interpreted according to the other open-class concept with which they have been integrated and to the conceptual structure to which they provide access. This compositional process is termed *fusion*. There are two types of selection: *broad selection* and *narrow selection*. Evans states that the former involves ‘the identification of a lexical concept’ (220) among a number of available concepts and the latter involves ‘selection within a single lexical concept’ (221). In broad selection, when a language user selects a single lexical concept to help him/her build a conception, then we can talk about single selection, while if s/he selects more than one lexical concept for a single vehicle, then we talk about multiple selection. In addition, multiple selection can be further distinguished into two types: single instance and multiple instance. The latter occurs when ‘a single vehicle occurs or is implicated multiple times in a single utterance giving rise to distinct lexical concepts on each instance of use’ (221). Evans provides the following example:

g) On the day my old dad expired, so did my driving licence.

In this example, the vehicle ‘expire’ gives rise to two distinct lexical concepts: in the first clause *expired* refers to an event involving death, while in the second, it relates to expiry of the driving licence term. On the other hand, single instance multiple selection arises when a single occurrence of a lexical vehicle and more than one lexical concept are selected. An example used in Evans (2009: 221) is:

h) We need a fast garage for our car, as we leave the day after tomorrow.

In this example, a single instance of the vehicle *fast* gives rise to multiple concepts, as it relates to a garage where the mechanics are able to carry out repairs rapidly and without taking much time.

The other major type of selection is *narrow selection*. In this case the selection occurs within a single lexical concept through the process of foregrounding of distinct parameters. For instance, in the following sentences we can observe that the vehicle *in* is associated with the lexical concept [ENCLOSURE], which, according to Evans (2009), includes at least two distinct parameters: Enclosure and Location with Surety selected depending on the context. The first example below involves full enclosure, while the second partial enclosure with a focus on the Location with Surety parameter:

- i) The toy is in the box.
- j) The bulb is in the socket.

These were the steps describing meaning construction. In the following section I will present the reasons that led to the selection of LCCM Theory for the purposes of the current account and then move on to the discussion of semantic intertextual frames.

4.4.3 The selection of LCCM theory

LCCM theory offers the most comprehensive cognitive linguistic framework that allows us to account for the generation of intertextual connections and the assignment of intertextual meaning to words. The distinction between cognitive models and lexical concepts is very helpful when it comes to discussing the identification of intertextual connections and demonstrating how the literal and intertextual meanings of the same word interact. Moreover, the notion of cognitive models enables the inclusion of encyclopaedic knowledge in our account in a more systematic and efficient way than other cognitive theories and along with it allows us to discuss in more detail the role of context in meaning generation.

Concerning the proposals of other cognitive linguistic theories, in Chapter 2 it has been argued that Fillmore's frame theory and Langacker's notion of domains have not managed to capture the subtleties of meaning generation. This is a result of the vast scope both approaches adopt and of the ambitious claims they make about meaning construction. Nonetheless, within cognitive compositional semantics some approaches focus more successfully on meaning representation and meaning construction. These include fine-grained polysemy (e.g. Burgam and Lakoff, 1988; Lakoff, 1987), abstract/underlying lexical conceptual paradigms (e.g. Pustejovsky, 1995) and the semantic plus pragmatic principles perspective (e.g. Herskovits, 1986). Despite their attempt to provide accounts that acknowledge the protean nature of word-meaning, these three frameworks present two main difficulties. The first one is that ultimately they all assume that word meaning is comprised of relatively stable knowledge structures and that their identification can be straightforward. However, according to the encyclopaedic principle, words provide access to vast depositories of knowledge and to what Evans has termed semantic potential. Therefore, the notion of stable knowledge structures may be seen as contradictory to a principle cognitive linguistics is largely based on. Evans (e.g. 2006, 2009) notes a second difficulty, namely that these theories do not successfully relate their theoretical claims to the nature of situated meaning. Hence, they fail to explain how words sanction contextualised usage events and how they are used in a particular context to express specific communicative intentions.

It follows from the above that alternative cognitive linguistic theories have not managed to expand on the roles that context and encyclopaedic knowledge play in meaning generation either due to the broadness of their proposals or to the shortcoming of the frameworks. On the other hand, Evans' model has been designed in

order to enable analysts to account for the multiple levels of meaning generation and the multi-faceted nature of word meaning. Apart from offering the opportunity for a detailed account of situated meaning, the distinction between lexical concepts and cognitive models also offers the opportunity to describe the intrinsic connections between the different layers of meaning by introducing primary and secondary cognitive model profiles. As it will be shown, these notions play an important role in the creation of intertextual connections.

4.4.4 Recapitulation and connection to intertextuality

Since a number of notions from cognitive linguistics have been introduced so far, in this section I wish to discuss their connection with intertextuality and semantic intertextual frames. The type of connection arising can be associated mostly with isolated word-occurrences in the literary text, as opposed to thematic intertextual frames which arise from the combination of multiple lexical items. For this reason, the focus of this chapter is on words and word meaning in general.

Following Riffaterre's (1980b) proposal, I am arguing here that words have *the semantic potential* of encoding another layer of meaning, i.e. an intertextual facet. I describe this facet using the notion of cognitive models and I argue that intertextual meaning can be discussed in relation to the notions of the 'rich aspect of meaning' and the 'semantic potential' of lexical items. Cognitive linguistics acknowledges that meaning construction and word meaning are highly dependant on contextual factors as well as on the cognitive processes of the individual mind. When it comes to a lexical item's semantic potential, a correlation can be observed with the richness of meaning. In other words, the richer the semantic knowledge one possesses about an item, the broader its semantic potential. In the case of intertextuality this implies that closed-class items are very unlikely to be encoded

with intertextual meaning. Conversely, there are higher degrees of probability for open-class items, like verbs or nouns, to be encoded with such meaning. It follows from this that closed-class items will not be considered in my discussion and that it is expected that open-class items will be central in the account.

Another feature of intertextual meaning is that it is primarily of a non-linguistic nature (see also Evans, 2009). It has been suggested earlier (2.2) that words may give access to experiential information and that the semantic potential goes beyond the boundaries of linguistic knowledge. Intertextual meaning is one facet of the experiential information words provide access to and it is related to the intertextual knowledge that individuals possess. Reading a literary text and experiencing both the 'interaction' with the book and the actual text results in elements being stored in readers' long-term memory. At the same time, literary reading involves introspection on the part of the reader, who processes, assesses and relates the various textual levels to his or her past experiences. The outcome of this introspection is the storage of schematic information in long-term memory (see also Barsalou, 1999, 2003; van Dijk and Kintsch, 1983), which may later provide the source for the creation of intertextual connections.

4.5 Semantic intertextual frames

The central notion in this chapter is that of *semantic intertextual frames*, which are used in order to describe the online creation of intertextual connections. The emergence of the frames is the outcome of the activation of stored semantic intertextual knowledge prompted by a lexical item of the literary text. From this point onwards, I will be making the distinction between activated and source texts. The former refers to the text that springs to mind as a result of the creation of an intertextual connection, while the latter refers to the literary text readers are engaged

with and provides the basis of the intertextual links. As will be explained in detail in the coming sections, the frames are formed once a lexical concept provides access to the appropriate cognitive model.

The major characteristic of semantic intertextual frames is related to whether the cognitive models giving rise to the connections are directly or indirectly accessed. In the section on word meaning and intertextuality (4.3), I referred to the notion of directness in relation to how the facets of cognitive models are accessed. I now wish to explain in detail the importance of directness for semantic intertextual frames. The creation of intertextual connections is triggered by following either a *direct* or *indirect access route*. A direct access route is formed when there is a direct connection between a lexical concept and a cognitive model. Thus, it becomes clear that this can only be the case for primary cognitive models, since they are the only ones in direct connection to the lexical concepts. Conversely, when the intertextual connection occurs without the existence of a direct access route between the lexical concepts and the cognitive models activated, then we talk about an indirect access route.

I would like to stress that I will be referring solely to open-class lexical concepts, as they are the only ones that can be combined with open-class vehicles and provide access to conceptual meaning and not only to linguistic content. Concerning the types of access afforded, I suggest that certain types of open-class lexical concepts create solely direct access routes while others may be connected to the creation of intertextual connections through indirect access routes. The different types will be discussed in detail in the coming sections.

4.5.1 Direct access route

Direct access routes are created when a lexical concept affords access directly to the primary cognitive models LITERARY ENTITY or MYTHOLOGICAL ENTITY triggering the formation of an intertextual frame. This takes place when the same lexical item is identified in the source and the activated text alike. This category is broad enough so as potentially to include all the open-class lexical items. Nevertheless, I believe that there is a particular set which is more likely to afford access to the cognitive model and prompt the creation of intertextual links, namely mythological figures and literary characters. This is attributed to the strong associations readers may create with these proper names and the texts they are encountered in. The strong association between proper names and encyclopaedic knowledge was also pointed out by Haiman (1980) (see section 2.3). Regarding the cognitive model MYTHOLOGICAL ENTITY I would like to stress that despite the fact that myths are part of one's broader cultural knowledge, I will make particular reference to the creation of intertextual links triggered by the identification of mythological figures. This is due to the relationship between literature and mythology as mentioned in section 3.5.2.2. Apart from the identification of the same item, a direct access route is afforded when readers come across a lexical item in the source text and they construct a semantic intertextual frame by the activation of one of its cognitive synonyms, namely words that are syntactically identical and yield sentences with the same truth-conditions but differ with respect to the expressive aspect (e.g. Cruse, 1986).

4.5.1.1 Identification of the same lexical item

As we are talking about the creation of semantic intertextual frames, the discussion will focus on individual words, which, nonetheless, are always considered within

their context. Semantic intertextual frames are created when readers bring to mind other literary texts where a lexical item of the source text has been used. In order to illustrate this, I would like to turn to Adrienne Rich's poem 'Aunt Jennifer's Tigers' (1951) and demonstrate in more detail how intertextual links can be created through a direct access route. The first stanza is quoted below:

Aunt Jennifer's Tiger

Aunt Jennifer's tigers prance across a screen,
Bright topaz denizens of a world of green.
They do not fear the men beneath the tree;
They pace in sleek chivalric certainty.

Adrienne Rich (1951, ll. 1-4)

Generally speaking, the lexical concept [TIGER] provides access to a number of primary cognitive models, such as ANIMAL and HABITAT. At the same time, the model can provide access to secondary ones, for example BIG CAT and PREDATOR. However, when reading a literary text and as a result of the literary stance readers have adopted, [TIGER] may also provide access to the cognitive model LITERARY ENTITY. The prerequisite of course in this case is that readers are familiar with other references to tigers in literature. This way a direct access route is established, since the cognitive model is directly accessed through the lexical concept. Consequently, in the first line of Rich's poem 'Aunt Jennifer's tigers prance across a screen', the vehicle *tigers* will provide access to the lexical concept [TIGER] and this in turn perhaps to the cognitive model LITERARY ENTITY. This cognitive model contains the knowledge the reader possesses concerning occurrences of the lexical concept in other literary texts. Supposing, therefore, that a given reader has associated Blake's poem 'The Tyger' (1794) with the particular lexical concept; as soon as this model is accessed, an intertextual link between the two texts is created and the semantic

intertextual frame is activated. The following figure presents partially a number of cognitive models accessed by the vehicle *tiger*.

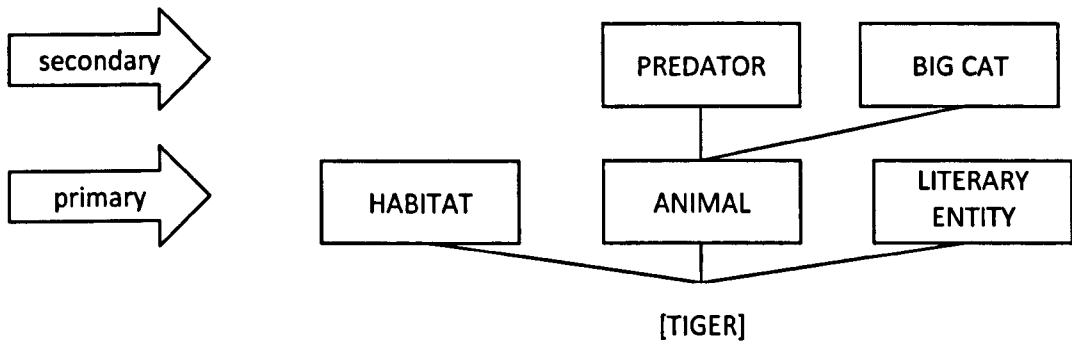


Figure 4.1 Primary and secondary cognitive models for [TIGER]

This example illustrates how lexical items in general become vehicles for the creation of intertextual connections. Nevertheless, as I mentioned above, there is also a particular set of lexical items whose identification affords direct access routes to the activation of semantic intertextual frames. These items are literary and mythological figures encountered in source texts.

a) Literary entities

A direct access route to cognitive models that foster intertextual meaning can be provided by *literary figures*. Many authors and poets ‘have extricated literary figure[s] from [their] original fictional context and inserted [them] into a new fictional context’ (Müller, 1991: 107) or have inserted in them ‘re-writes and sequels to earlier texts’ (1991: 110). Some examples include Tom Stoppard’s *Rosencrantz and Guildenstern are Dead* (1968), Jean Rhys’ *Wide Sargasso Sea* (1966), James Joyce’s *Ulysses* (1922) and Umberto Eco’s *Name of the Rose* (1983). In the case of the first two examples, we can indeed observe the use of the same figures in new contexts. However, in the last two, the names of some characters are the result of variations, such as Eco’s protagonist William of Baskerville, a pun on Conan

Doyle's book *The Hound of the Baskervilles*. The intertextual references can thus be manifested in terms of transformations, as Plett (1986) notes. Müller has identified the following variations in names used across literary texts: subtraction, such as in the form of back-clipping, substitution, adaptation of foreign names in new contexts and translation. Müller has suggested the term *interfigurality* (102) based on Ziolkowski's 'figures on loan' (1983: 129-30), to describe this phenomenon. Therefore, it becomes clear that authors do try to establish interrelations between texts by embedding literary characters from other texts into their work.

Focusing on the readers' point of view, it should be noted once more that in order to recognise intertextual relationships triggered by the name of a character, readers need to be familiar with the text this character originates in. Moreover, if we take into account Müller's internymic variations listed above, readers should also be able to identify possible changes and make the connection with the other work. In the case of literary figures, interfigurality, along with quotation, can be seen as one of the most explicit attempts on the part of the author to guide the reader towards establishing connections with particular texts. Another remark in relation to the role of the author in the creation of this intertextual effect is that the author can only employ figures from texts that have been written previously or contemporaneously to the one s/he is writing. Of course, one could claim that this is the case for all the intertextual elements. However, I believe that the figures are strongly associated with particular literary texts and their use as intertextual elements directs the readers towards the construction of links with these particular texts. In other words, if the readers encounter a reference to a literary character, it is more likely that they create associations with the original text in which the character appeared due to the strong link between the two. The existence of the characters' names will direct the readers

towards texts written previously or at the same time as the one they are reading limiting thus their freedom of constructing their own links. The significance of this remark will become clearer in later discussions concerning the overtness of intertextual links. An illustration of this type of intertextual connection can be provided by a much discussed example (e.g. Ben-Porat, 1976; Perri, 1978) from Eliot's 'The Love Song of J. Alfred Prufrock' (1917). Towards the end of the poem the persona exclaims:

No! I am not Prince Hamlet, nor was meant to be;
 Am an attendant lord, one that will do
 To swell a progress, start a scene or two,
 Advise the prince; no doubt, an easy tool

T.S. Eliot (1917, ll. 111-114)

In line 111 readers come across the reference to Prince Hamlet, the protagonist of Shakespeare's tragedy *Hamlet*. Following Evans theory, we can suggest that the vehicle *Hamlet* will afford access to the lexical concept [HAMLET] which in turn will provide access to a number of cognitive models. In Figure 4.2, I illustrate how this connection arises.

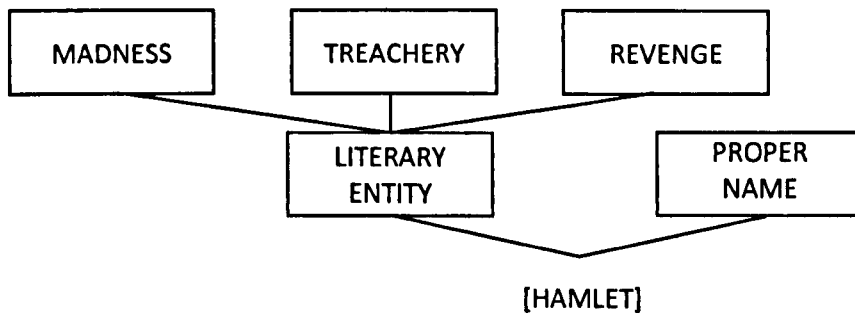


Figure 4.2 The cognitive profile for [HAMLET]

A semantic intertextual frame will be created if the cognitive model LITERARY ENTITY is accessed. Therefore, an intertextual link between Eliot's and

Shakespeare's work will be established. An important point is that in the particular cognitive model contains information concerning the character and the play *Hamlet* and certain of its aspects will be incorporated in the intertextual frame. In turn, this activation will be reflected in the interpretation of Eliot's text influencing the reading of the poem. For instance, the primary model is likely to give rise to a number of secondary cognitive models. As can be seen in the figure, these models may be MADNESS, TREACHERY and REVENGE. Co-textual factors will determine whether any will surface and whether any will be sustained or fade away.

Another example of a re-used literary figure can be found in Sylvia Plath's poem 'Ariel' (1962). It is significant to note that the lexical item 'Ariel' appears only as the title and there is no other occurrence throughout the poems. I selected this poem because there seems to be a constant negotiation of meaning of the word 'Ariel' and what it stands for. The fact that it has such a salient position attracts readers' attention and shapes their expectations.

Ariel

Stasis in darkness.
Then the substanceless blue
Pour of tor and distances.

God's lioness,
How one we grow,
Pivot of heels and knees!--The furrow

Splits and passes, sister to
The brown arc
Of the neck I cannot catch,

Nigger-eye
Berries cast dark
Hooks----

Black sweet blood mouthfuls,
Shadows.
Something else

Hauls me through air----
Thighs, hair;
Flakes from my heels.

White
Godiva, I unpeel----
Dead hands, dead stringencies.

And now I
Foam to wheat, a glitter of seas.
The child's cry

Melts in the wall.
And I
Am the arrow,

The dew that flies,
Suicidal, at one with the drive
Into the red

Eye, the cauldron of morning.

Sylvia Plath (1962)

According to our analysis so far, the vehicle *Ariel* will provide access to the lexical concept [ARIEL] which in turn will provide access to cognitive models. As an intertextual reference, *Ariel* is the spirit bound to serve Prospero in another Shakespearean play, *The Tempest*. As long as readers are familiar with this play, it is possible that the primary cognitive model LITERARY ENTITY will give rise to a secondary one, namely FICTIONAL SPIRIT associating thus the title of this poem with the character of the play. Nevertheless, the content of the poem at the beginning does not sustain the relationship established. The second stanza begins with the elliptical line 'God's lioness', which can be seen as a reference to the etymology of 'Ariel' in Hebrew, i.e. the lion of God. This reference to the original meaning of the word suppresses the intertextual meaning that may have surfaced above and directs readers towards activating the cognitive model they may have concerning the etymology of the word. Apart from these two models, the readers may be able to

construct another based on the poem itself and identify Ariel as the name of a horse the poetic persona is riding. As they move through the poem, they come across a number of lexical items that give an alternative interpretation of the word. Firstly, the phrase 'pivot of heels' contains words associated with equestrian terms. In lines 8-9, the persona refers to the 'brown arc of the neck', making clearer that she is riding a horse. Thus readers can now return to the title and associate 'Ariel' with the name of the animal. In this case, it can be pointed out that this meaning is more transparent than the two previous ones and that it does not have any intertextual qualities.

It can be suggested that the constant adjustments and the final fusion of the meaning of 'Ariel' mirror the fusion that takes place in the poem. We have seen that the reader may have to switch between two cognitive models in order to understand the meaning of the title. Concerning the intertextual meaning, it may surface again at a metaphorical level towards the end of the poem when the persona states that she 'foams in wheat' and becomes 'a glitter of seas'. This alludes to the way the spirit Ariel was presented as a glistening entity as well as to Prospero's last words before he releases him, namely 'then to the elements be free, and fare thou well' (V, i, 374-5). This fusion of meanings, the intertextual link with Ariel and the spirit's union with the universe, reflects the fusion that takes places initially between the persona and her horse and later on between the persona and nature. In this case, the intertextual link that may be established by the title is likely to be placed in the background and to re-emerge bringing rich input to the interpretation and understanding of the poem.

This constant negotiation of meanings can be described in cognitive linguistic terms as *highlighting*, a term used by both Evans (2009) and Langacker (1987). Evans defines highlighting as the 'differential activation of attributes internal to a

given cognitive model' (271). However, I would use the term in order to identify the negotiation that takes place between the different cognitive models accessed by the same lexical concept. The process of highlighting describes the way different types of knowledge are preferred over others available due to both contextual parameters and idiosyncratic reasons related to the individual's personal background knowledge. For instance, in Plath's poem when one encounters the title, the cognitive model about the character in Shakespeare's play is activated, but later on the model related to the etymology of the word is highlighted and the other moves to the background. Nevertheless, the poem 'Ariel' is particularly interesting because the three cognitive models can be combined and provide a multi-layered interpretation of the lexical concept [ARIEL]. The selection process among the different cognitive models is discussed in detail in section 5.4.2.

b) Mythological entities

Apart from the cognitive model LITERARY ENTITY, direct access routes can be afforded by the identification of mythological entities in the text. Mythological entities are figures with strong cultural resonance, which have often been used in literary texts. References to mythological creatures and characters are made by a variety of authors from Shakespeare, Milton and Blake to more recent ones like Plath and Duffy. An illustration can be provided in the opening lines of Poe's 'To Helen':

Helen, thy beauty is to me
Like those Nicean barks of yore

Edgar Allan Poe (1845, ll. 1-2)

The vehicle *Helen* activates the lexical concept [HELEN], which consists necessarily of the primary cognitive model FEMALE PROPER NAME. This way it becomes possible for readers to interpret the line as addressed to a female figure.

Nonetheless, the generation of intertextual meaning will not be possible, unless another primary cognitive model exists, i.e. MYTHOLOGICAL ENTITY. In other words, readers need to be familiar with the mythological figure of Helen of Troy in order to be able to establish the intertextual connection. It is necessary for them to possess such a cognitive model in order for the intertextual connection to be established and the intertextual reading to surface. So, readers can approach the vehicle *Helen* as more than a mere reference to an entity to which the poem is addressed. Moreover, accessing the cognitive model MYTHOLOGICAL ENTITY may provide access routes to secondary cognitive models, such as these delineated in the figure below: BEAUTY, TROJAN WAR, and LOVE OBJECT.

In the case of [HELEN], the semantic intertextual frame is built directly once the lexical concepts afford access to the primary cognitive model MYTHOLOGICAL ENTITY. Accessing the primary cognitive model may give rise to intertextual connections specifically related to mythological knowledge about Helen of Troy. The knowledge readers may have about Helen, such as her renowned beauty and her

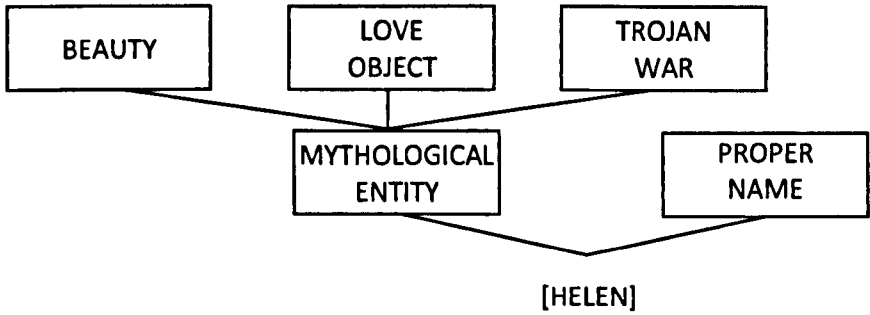


Figure 4.3 Partial cognitive profile for [HELEN]

being the love object of Menelaus and Paris as well as the cause of the Trojan War and the subsequent destruction of Troy, may surface. Apart from a direct reference to

Helen and the existence of this particular vehicle, the same intertextual frame can emerge if one reads the famous lines from Marlowe's *Doctor Faustus*:

Was this the face that launch'd a thousand ships,
And burnt the topless towers of Ilium?

Christopher Marlowe, (1604, V.i. ll. 91-2)

In these two lines there is no single-word reference to Helen of Troy as above but readers can metonymically relate the figure described to Helen. The phrase 'launch'd a thousand ships' directs them though towards constructing a cognitive model of WAR, which is further specified by the occurrence of the lexical item 'Ilium', an alternative name for the ancient city of Troy. Therefore, putting all these pieces of information together enables the readers to interpret these lines as a reference to the mythological figure of Helen. This instance exemplifies another type of mental processing that is likely to take place when reading a text. Instead of having a single lexical concept triggering primary and secondary cognitive models, readers encounter a multiplicity of lexical concepts and respective cognitive models, through which they have to navigate. From the number of cognitive models activated by the vehicles *war*, *ships*, *towers* and *Ilium*, they may select the common links which paired with *face* and *launched* will direct them towards interpreting *face* as Helen.

This type of connection is closely bound to the knowledge of a reader concerning the myths and traditions of specific cultures. One can argue though that *per se* this does not constitute intertextual knowledge as there is no direct reference to a literary text. However, mythological references are intrinsically embedded in the literary tradition and a complex nexus between mythology and literary texts has been created. Consequently, it is worth examining them for two reasons; firstly, these

references point to a network of cultural 'texts' in a looser sense, closely connected to the idea of the *intertext* (Riffaterre, 1984a: 142); secondly, they set the basis for a more insightful approach to the way readers may relate cultural references across literary texts.

c) Mythological entities as literary entities

It was mentioned above that mythological entities have been widely employed by a number of writers. Rather than activating the cognitive model MYTHOLOGICAL ENTITY and knowledge regarding the myth, readers are likely to create an intertextual link with a literary text which contains a reference to the same entity. The lexical concept will afford access to the primary cognitive model LITERARY ENTITY instead. For instance, the final lines of 'The Love Song of J. Alfred Prufrock' are:

Shall I part my hair behind? Do I dare to eat a peach?
I shall wear white flannel trousers, and walk upon the beach.
I have heard the mermaids singing, each to each.

I do not think that they will sing to me.

I have seen them riding seaward on the waves
Combing the white hair of the waves blown back
When the wind blows the water white and black.

We have lingered in the chambers of the sea
By sea-girls wreathed with seaweed red and brown
Till human voices wake us, and we drown.

T.S. Eliot (1917, ll. 122-131)

The lexical items 'mermaid' and 'sea-girls' refer to the mythological creatures known to us from ancient Greek and Roman mythology. Nevertheless, there have been references to them in literary texts as well, such as Yeats' 'The mermaid' (1928), Milton's *Comus* (1632) and Tennyson's 'The mermaid' (1830) amongst many others. Consequently, a reader may construct an intertextual frame

based on a knowledge activation of a literary text. Returning to the example, one possible intertextual connection triggered by the vehicle *mermaids* might be with W.B. Yeats' 'The Mermaid' (1928). Yeats' poem starts off with the line: 'A mermaid found a swimming lad'. A reader may be reminded of this when she or he comes across Eliot's reference to mermaids. The cognitive model LITERARY ENTITY will be accessed thus connecting the two poems.

Another issue to be dealt with is whether these connections can be sustained or not by the context itself. In this example, one can suggest that the link between the two might indeed be strengthened as a result of what seems to be a stylistic similarity. Eliot's poem concludes with the line 'till human voices wake us and we drown.' with the last three words offering a very abrupt and almost violent ending. Interestingly, Yeats' two concluding lines are 'Forgot in cruel happiness/ that even lovers drown'. The two poems thus share not only the references to mermaids but also the same sudden and tragic end for the human beings. Moreover, the fact that this has been rendered using the same word, 'drown', at the very end of the poems strengthens even more the intertextual link and makes the connection a sustaining one.

Another similar effect can be observed in the case of the vehicle *Helen*. If we consider one of Poe's poems, such as 'To Helen', we can suggest that a link might be established with other literary texts that have referred to Helen of Troy. One of them is Marlowe's *Dr Faustus* (1604), while others include 'Helen' (1928) by H.D. and Oscar Wilde's 'The New Helen' (1881). If readers have come across these texts and stored information about them, then they will be able to construct an intertextual link. For instance, Oscar Wilde's reference to the 'new Helen' in the title of the poem brings forward the possible associations with the features of 'old Helen' on the one

hand, while on the other, it may trigger the cognitive model of LITERARY ENTITY establishing a frame with another literary text, which makes reference to Helen of Troy.

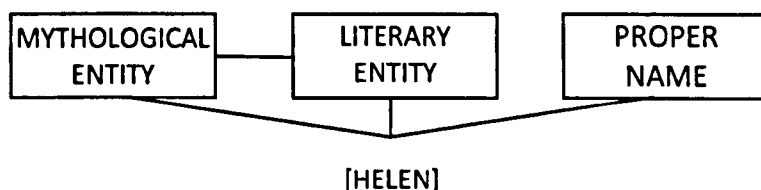


Figure 4.4 Simultaneous activation of MYTHOLOGICAL and LITERARY ENTITY cognitive models

4.5.1.2 Cognitive synonymy and plesionymy

It was stated in section 4.5.1 that apart from the creation of semantic intertextual frames based on the identification of the same lexical item, a direct access route may be created through *cognitive synonymy* (Cruse, 1986, 2011; Croft and Cruse, 2004).

Cognitive synonymy is defined:

X is a cognitive synonym of Y if (i) X and Y are syntactically identical, and (ii) any grammatical declarative sentence S containing X has equivalent truth-conditions to another sentence S, which is identical to S except that X is replaced by Y.

(Cruse 1986: 88)

An example of a pair of cognitive synonyms provided by Cruse is *fiddle* and *violin*. The truth-conditions of the sentences containing these lexical items are the same in both *He plays the violin very well* and *He plays the fiddle very well*, as both sentences entail each other. The difference between cognitive synonyms lies in their *expressive meaning*, which Cruse associates with the *style*, namely 'the language characteristics which mark different relations between the participants in a linguistic exchange' (Cruse, 1986: 284). A range of differentiated terms can be seen in these items (Cruse, 1986: 285): *kick the bucket, buy it, ... pop off, peg out, expire, perish, die, pass away, decease, etc.*

As cognitive synonyms differ mostly in their expressive aspect and their propositional meaning is the same, then the lexical concepts of the vehicles will provide access to very similar, if not the same, cognitive models. Consequently, it is likely for intertextual links to arise based on the identification of the lexical items that are cognitive synonyms. Evans has not incorporated the notion of cognitive synonymy in his theory and he confines his discussion to polysemy. For this reason, I will include the notion in my account and explain how it may be used when referring to intertextuality. Nevertheless, Evans refers to the notion of *association area*, which is the 'location in the conceptual system with which a specific lexical concept is associated' (2009: 205). In the case of cognitive synonyms, the vast majority of the association areas of the lexical concepts are the same and as a result the cognitive models are shared as well. An illustration of this can be provided if we consider the poem 'A narrow fellow in the grass' by Emily Dickinson.

A narrow fellow in the grass

A narrow fellow in the grass
Occasionally rides;
You may have met him,--did you not,
His notice sudden is.

The grass divides as with a comb,
A spotted shaft is seen;
And then it closes at your feet
And opens further on.

He likes a boggy acre,
A floor too cool for corn.
Yet when a child, and barefoot,
I more than once, at morn,

Have passed, I thought, a whip-lash
Unbraiding in the sun,--
When, stooping to secure it,
It wrinkled, and was gone.

Several of nature's people
I know, and they know me;

I feel for them a transport
Of cordiality;

But never met this fellow,
Attended or alone,
Without a tighter breathing,
And zero at the bone.

Emily Dickinson (1866)

This poem describes an encounter with a snake and the feeling of frisson that may be experienced. The lexical item 'snake' is not employed in the poem but readers can infer that the noun phrase 'a narrow fellow in the grass' is used to describe the reptile. A semantic intertextual frame can be activated if a cognitive synonym is brought to mind such as the word 'serpent'. An intertextual link can be built between Dickinson's poem and other literary texts containing the cognitive synonym 'serpent', for example Shelley's poetic fragment 'Wake the serpent not' (1819). The link will be based on the fact that 'snake' and 'serpent' are cognitive synonyms and their difference lies in their expressive meaning. Due to cognitive synonymy, the two lexical items share most of their association areas and thus cognitive models. Therefore, it is possible for a reader who comes across the phrase 'a narrow fellow in the grass' and the vehicle *snake* to connect it to the lexical item 'serpent'. This way the cognitive model LITERARY ENTITY will be activated. An illustration is shown in Figure 4.5.

The double arrow represents the cognitive synonymy of the items and the fact that they can be used almost interchangeably in the given context as a result of their shared cognitive models. The link between the two poems may be further sustained due to a number of lexical items present in Dickinson's poem. For example, the poetic personas in both poems present the snakes' bond with their natural

environment and their swiftness, and they also express a feeling of uneasiness triggered by the encounter.

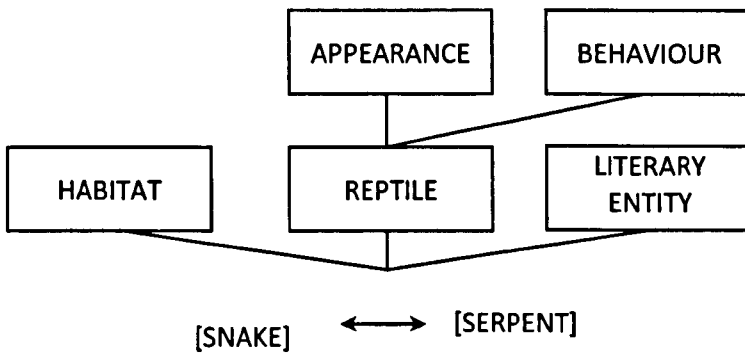


Figure 4.5 The activation of cognitive models of the cognitive synonyms *snake* and *serpent*.

Apart from cognitive synonymy, direct access routes can be afforded in cases of *plesionymy* (Cruse, 1986: 285). This is distinguished from cognitive synonymy ‘by the fact that they yield different truth-conditions: two sentences differ only in respect of plesionyms in parallel syntactic positions are not mutually entailing’ (Cruse, 1986: 285). In other words, plesionyms ‘designate very similar concepts and at the same time exhibit slight meaning differences so that they cannot be considered identical in meaning’ (Storjohann, 2009: 2140). For this reason, Cruse (2011) has also used the term *near synonyms* (144) as an alternative. An interesting feature of plesionyms is that they shade gradually into non-synonymy, or in other words that ‘[t]here is always one member of a plesionymous pair which it is possible to assert, without paradox, while simultaneously denying the other member’ (Cruse, 1986: 285). Other examples of this case given by Cruse are: ‘He was not *murdered*, he was legally *executed*’ and ‘It wasn’t *foggy* last Friday- just *misty*’ (1986: 285, my italics). An example of how intertextual connections may arise as a result of plesionymy can be seen in ‘The Crows’ (1923) by Louise Bogan.

The Crows

The woman who has grown old
And knows desire must die,
Yet turns to love again,
Hears the crows' cry.

She is a stem long hardened,
A weed that no scythe mows.
The heart's laughter will be to her
The crying of the crows,

Who slide in the air with the same voice
Over what yields not, and what yields,
Alike in spring, and when there is only bitter
Winter-burning in the fields.

Louise Bogan (1923)

In this poem, the woman fails to come to terms with growing old and tries to regain her youth by turning to love. However, the result of her action is to hear 'the crows' cry', which metaphorically stands for death. In this context, the lexical item 'crows' may activate a semantic intertextual frame and an intertextual connection through a direct access route. This will occur if readers bring to mind a plesionym of the lexical item, i.e. the word 'raven', and connect this poem to Edgar Allan Poe's 'The Raven' (1845). The intertextual link will be based on the fact that the lexical items 'crow' and 'raven' are plesionyms. This can be tested using the discriminatory powers of *more exactly*: 'I saw a crow yesterday- or, more exactly, a raven'.

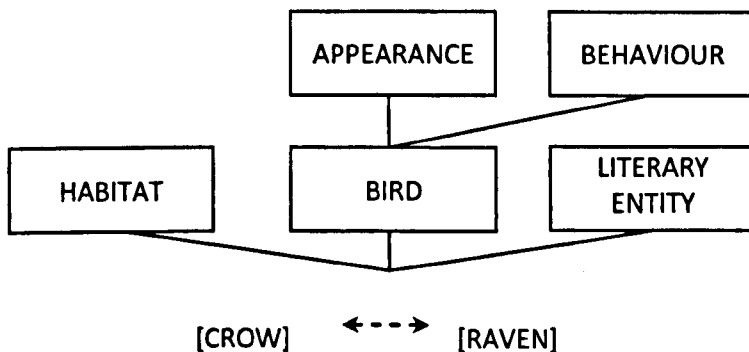


Figure 4.6 Partial cognitive profile of the plesionyms *crow* and *raven*

In this poem by Bogan, the activation of the cognitive model LITERARY ENTITY relies on the identification of the plesionyms 'crow' and 'raven'. The double dashed arrow represents the fact that they are plesionyms and that, despite their shared cognitive models, they yield different truth conditions. It should be stressed that the intertextual link is sustained due to the presence of a number of common textual elements in the two poems and that the activation of the cognitive synonyms is not enough in itself to sustain the link. Co-text thus plays an essential role in the current model. Poe's work is full of references to death and ultimately the raven itself becomes its messenger (Adams, 1972). Death is also a predominant idea in Bogan's poem and references to it are made both directly, i.e. 'die', and metaphorically with the use of symbols of death, such as 'scythe' and 'mow'. The old woman is also described as 'a stem long hardened', where 'hardened' can be associated with the stiffening of a dead body. Another means of sustaining the connection between the two poems is through the way the crows' actions are depicted; in the first two stanzas the woman can hear their cry, while Poe's persona repeatedly hears the raven croaking 'Nevermore'. Finally, the link between the texts is supported by the fact that both Bogan and Poe make specific reference to wintertime, i.e. 'winter-burning fields' and December respectively. This reference is also related to the imagery of death foregrounded throughout Bogan's poem.

Here again, I would like to stress that the activation of elements from the accessed text depends highly on the individual reader. The reading I provide here depicts my personal way of approaching Bogan's poem and the intertextual connection I constructed. I also wanted to highlight how the ability to bring to mind additional elements, such as the time of the year or the cries of the raven, reinforces the link. However, this again depended on my recollection of Poe's poem. In this

particular example, the activation of this information enriches the reading of Bogan's poem. The semantic intertextual frame allows readers to bring together two literary works, which may interact and feed into each other. The imagery of death is brought to the foreground and the symbol of the crow as a messenger of death acquires an additional dimension.

Up to this point, I have presented the ways of forming semantic intertextual frames by direct access routes. This is accomplished either when readers bring to mind occurrences of the same lexical concept or when a cognitive synonym is activated. In the following section I would like to discuss how intertextual connections are constructed when a reader relates lexical items that do not share this relationship.

4.5.2 Indirect access route

Previously, I focused my attention on lexical items that were mostly proper names and nouns in the form of mythological entities and literary characters. In addition, I suggested that a direct link may be triggered when the same lexical concept is identified or, in the case of cognitive synonymy and plesionymy, where closely related lexical items give rise to similar or identical cognitive models. However, intertextual connections may be formed when indirect access routes to a secondary cognitive model are afforded by a lexical item. Indirect access routes are created in cases of hyponymy, which has been defined by Croft and Cruse (2004) as: 'If X is a hyponym of Y, then the semantic content of Y is a proper subpart of the semantic content of X' (142). With regard to LCCM theory, this means that a number of primary cognitive models afforded by the lexical concept of X delineate the lexical concept of Y. I will employ again Bogan's poem cited in the previous section and focus on the lines 'The heart's laughter will be to her/ The crying of the crows,/ Who

slide in the air with the same voice/ Over what yield not ...' (7-11). I argued above that the vehicle *crows* provides access to the lexical concept [CROW], which affords access to the primary cognitive model BIRD. In turn this cognitive model provides access to the secondary models BEHAVIOUR and APPEARANCE. Nevertheless, this lexical item can also provide the basis for establishing a semantic intertextual frame via an indirect access route. In this case, the intertextual link will not be triggered by the identification of the cognitive synonym *raven*. Instead, the frame will be constructed as a result of the identification of a superordinate-hyponym pair. The pair may surface when the model BIRD is accessed, since the reader will activate the knowledge he or she possesses concerning the nature of crows, and it will contain the items 'bird' and 'crow', the former being a superordinate of the latter. The intertextual semantic frame will be activated if the reader activates a secondary cognitive model LITERARY ENTITY accessed by the primary model BIRD.

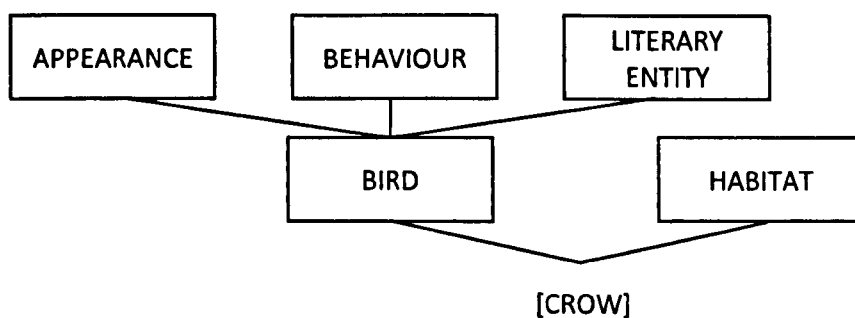


Figure 4.7 A partial cognitive profile for [CROW]

This cognitive model will contain knowledge a reader may have concerning other occurrences of the superordinate in other literary texts. If the reader identifies a specific occurrence, then the semantic intertextual frame is triggered and the link is constructed. For instance, such an occurrence can be found in the poem 'The Second Coming' (1921) by W.B. Yeats. More specifically, reference to it is made towards

the end of the second stanza of the poem in the lines: ‘... while all about it/ Wind shadows of the indignant desert *birds*’ (my italics). Therefore, the activation of the frame is a result of an indirect access route; the cognitive model LITERARY ENTITY is not activated directly by the lexical concept [CROW] but its activation relies on the emergence of the primary model.

Moreover, it is important to note that the content of Bogan’s poem plays an essential role in the construction of the link. The crows are depicted croaking and flying in the air over open fields. A similar image is presented in Yeats’ poem where the birds are described as flying in circles indignantly over the desert. Thus, in both texts the birds acquire a menacing and threatening quality. The similarities in the imagery along with the way the birds are presented may foster the creation of the semantic intertextual frame. As this example illustrates, the context of the source text greatly influences the creation of semantic intertextual frames. The identification of a lexical item that prompts the activation of the necessary cognitive models is not sufficient since it may lead to the construction of links that are too idiosyncratic and cannot be supported by the text itself. While reading, individuals are aware of the context, which inevitably influences their interpretation as well as the construction of intertextual links. If there is a close relation between the context and the emerging semantic intertextual frame, the effects of the latter on the reading experience are enhanced, as readers can draw on another source to supplement their reading. For instance, the menacing nature of the desert birds along with the bleak atmosphere projected by ‘The Second Coming’ can be fed back on Bogan’s poem, reinforcing the symbolism of the crows and adding another perspective to its ominous topic. I will return to the role of context in section (4.5.4.3) and discuss how it may influence the generation of intertextual links in more detail.

Finally, Figure 4.8 presents the gradation between non-synonymy and synonymy and their relation to the generation of semantic intertextual frames via direct and indirect access routes. Non-synonymy can hardly yield any semantic intertextual frames but, as hyponymy comes into play, indirect access routes may be afforded by hyponyms. Finally, direct access routes are afforded in the case of cognitive synonymy, plesionymy and identification of the same vehicle. It can be suggested that the closer we move to the identification of the same lexical item, the more straight-forward it is to construct a semantic intertextual frame.

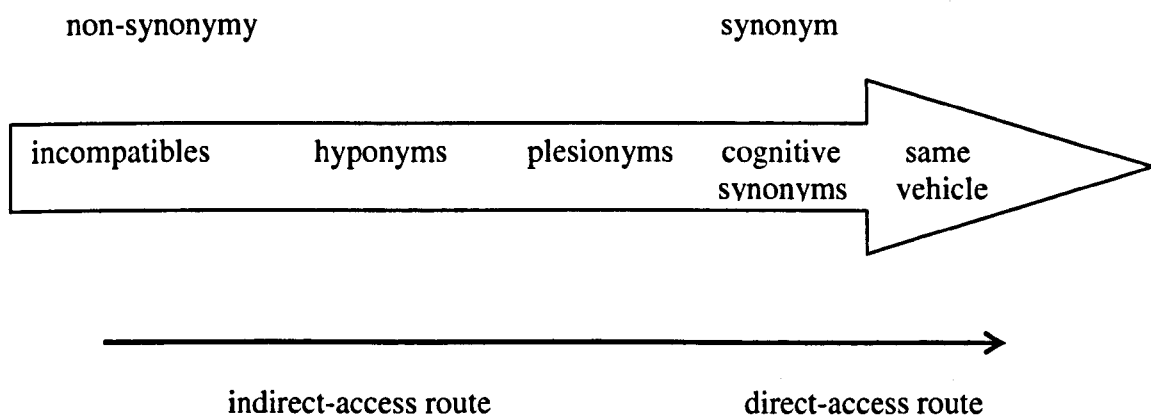


Figure 4.8 The gradation of non-synonymy and synonymy and access routes

4.5.3 Intertextuality and two levels of meaning

In section 3.1 I referred to the view expressed by some theorists that words can have two values that give rise to emergence of two types of meaning, i.e. a literal and an intertextual one. Riffaterre (1980b) proposed the term *syllipsis* in order to refer to this phenomenon. Moreover, Perri (1978) claimed that alluding markers have at least a double referent, which signifies un-allusively within the world of the text and allusively outside it. I believe that the current approach to intertextuality provides the necessary evidence that supports this view. Evans' (2009) model allows for the

activation of multiple cognitive models concurrently. For example, when discussing the lexical concept [WENT UP] he claims that it affords access to three primary cognitive models: PHYSICAL ENTITY, MOTION and VECTOR UPWARDS ALONG THE VERTICAL AXIS (Evans, 2009: 204-5). According to Evans, these three models need to be activated simultaneously in order for the lexical concept to be accurately interpreted.

The various cognitive models that are activated by a lexical concept allow for the generation of different types of meaning. In direct access routes, if a reader is not familiar with the cognitive model that provides access to the knowledge concerning the mythological or literary entity, then he or she will construct the meaning of the sentence based on the alternative model available. This model, however, will probably contain very basic information. For example, the lexical concept [HELEN] may give access to the cognitive model FEMALE PROPER NAME. Thus, the reader will be able to reach a literal interpretation but will not construct an intertextual one, as he or she lacks the appropriate cognitive model.

If a reader constructs the intertextual frame, it is possible to activate simultaneously two cognitive models. For instance, in the case of Adrienne Rich's poem 'Aunt Jennifer's Tigers', the lexical concept [TIGER] can afford access to both the primary model ANIMAL and LITERARY ENTITY. In this type of activation both cognitive models play an important role in the interpretation of the lexical concepts. Readers are aware of the double meaning of [TIGER] as animal and as a literary entity that provides access to another literary work. This way the double activation explains Perri's and Riffaterre's insights. On the one hand, we can observe how a literal and intertextual meaning can be triggered concurrently by the same item and

on the other, how the lexical concept can trigger intertextual links which go beyond the boundaries of the text itself.

When it comes to indirect access routes, the reader has already selected a cognitive model, so he or she has already arrived at an interpretation of the word. In the example of the vehicle *crow*, the cognitive model BIRD provides the basis for the construction of the intertextual link. The intertextual connection between the two literary texts can be established because of the activation of the particular cognitive model. Here again, the intertextual links occur in a secondary level of interpretation. The literal meaning is activated and this allows the construction of the link by an indirect route.

4.5.4 Main features of semantic intertextual frames

To this point the discussion was centred on the different ways semantic intertextual frames may be constructed. I will now turn to a discussion of their features, which play a significant role in defining the quality of the activation. These features are related to the number of *attributes* that are generated when the link is established, and to the phenomena of *highlighting* and *intertextual chaining*. In the following sections I will refer to each one separately and explain how they affect the quality of the semantic intertextual links.

4.5.4.1 Attributes

It has been established so far that the two main concepts involved in establishing intertextual connections are the lexical concepts and the cognitive models. Lexical concepts are the prompt for the emergence of the cognitive models, which in turn serve as the access sites for intertextual links. These access sites can afford access to the complex sets of knowledge which include the features of an author's work or other types of information related to the historical era, the genres they have written

and so on. I would like now to propose another notion which will enable us to talk about the particular characteristics that are invoked.

This notion is termed *attributes* and I am borrowing it from Evans (2009), who builds on Barsalou's (1992) *concepts*, though I will be adapting it to the needs of the current theory. Attributes are 'concepts that represent one aspect of a larger whole' (Barsalou, 1992: 30). Their subtypes are called *values* and they refer to the subordinate concepts. Barsalou employs the terms in order to describe the nature of frames. Keil (1979, 1981) has suggested that for physical objects, attributes may include *colour, shape* and *weight*, and for events *location, time* and *goal*. Consequently, it can be suggested that the nature of attributes depends on the ontological domain of the particular category and lexical item. Since values are subordinate concepts, they 'inherit information from their respective attribute concepts' (Barsalou, 1992: 31).

In his account, Evans has used the notion of attributes in order to discuss the large, detailed but structured body of knowledge of which cognitive models consist. In the example that he provides when analysing the cognitive models accessed in [BOOK], the cognitive model PHYSICAL STRUCTURE includes information concerning the material organisation of a book, such as the dimensions, weight and binding amongst others. Evans calls this aspect of knowledge the TOME attribute. Nevertheless, I believe that the differences between cognitive models and attributes have not been clearly delineated and a set of criteria for the distinction between the two has not been provided in LCCM Theory. Hence, I have chosen not to follow closely Evans' proposal and adopt the term in order to suit the discussion of intertextuality.

In the example of [HELEN], I stopped my analysis at the cognitive models of LITERARY ENTITY and MYTHOLOGICAL ENTITY. Of course, the point of contact between the two literary texts is none other than the lexical item 'Helen'. This was used as a trigger for the generation of intertextual connections by providing a direct access route to the respective occurrence in another literary text. The combination of these two models can trigger knowledge closely related to the activated literary texts, which I term *attributes*. More specifically, attributes are the types of knowledge that accompany the generation of intertextual connections. These types of knowledge may include information about the poem and its content, its author, the era it was written and its genre and they are clustered around two different attributes, which I identify as CONTENT and AUTHOR. The latter contains knowledge concerning the creator of the poem and the time period it was written, while the former is activated when knowledge concerning the subject of the literary work and its genre surfaces. Each of these attributes can contain a number of values associated with it. These values contain more detailed information such as the particular line in which the lexical item occurs, the precise year of composition, the title of the book or poetry collection in which the work was included, and the major characteristics of the genre and so on.

The amount of information stored in the form of attributes and values depends exclusively on the individual reader and his or her previous reading experiences and background knowledge. For instance, in the poem of Adrienne Rich the cognitive model LITERARY ENTITY may provide access to the attributes AUTHOR and CONTENT. It should be stressed that these attributes will not necessarily be activated together; a reader may bring to mind solely information concerning the author, i.e. in this case, the link will point the reader towards

identifying Blake; or he or she may bring to mind knowledge about the content of the poem and remember specific lines such as ‘Tyger, Tyger burning bright’. The values that will surface are also a matter of the individual reader and his or her familiarity with the accessed text.

Finally, before concluding this section I would like to return to Barsalou’s approach to the terms. He notes that when people consider attributes, such as colour or location, in isolation, then these should not be seen as attributes but as concepts. Moreover, he adds that a concept is only considered an attribute ‘when viewed as describing some aspects of a category’s members’ (1992: 30). This is the case for attributes as they are seen in the current model. The attributes associated with cognitive models are seen as such only when they are triggered in instances of intertextual connections. In other instances they may not be bound in this type of cognitive model and they may be accessed through different routes. Let us consider an example. When one discusses Poe’s ‘To Helen’ and refers to the era in which it was written, this type of information is not thought to be an attribute of the poem itself. Instead, it is seen as related knowledge and if it becomes the main topic of discussion, other cognitive models may surface providing access to connected notions. Therefore, it can be suggested that the nature of attributes is closely tied with intertextuality and the generation of intertextual connections. Since values are subordinate concepts of attributes, it is clear that they are also tied with the phenomenon of intertextual meaning generation. In other cases, they can serve as the (secondary) cognitive models accessed by the attributes.

4.5.4.2 Highlighting

I referred to the notion of highlighting very briefly when discussing Plath’s poem ‘Ariel’ and the negotiation of meaning that may take place when reading it. The term

'highlighting' has been used amongst others by Lakoff and Johnson (1980), Croft and Cruse (2004), Ungerer and Schmid (2006) and Evans (2009). It is employed in order to describe the selection process within a certain domain. Croft and Cruse (2004) relate it to the selection of a facet from a domain or a domain matrix. Lakoff and Johnson (1999) discussed highlighting in their influential Conceptual Metaphor Theory and juxtaposed it to the notion of *hiding*. When talking about the target and the source of conceptual metaphors, they argue that the fact that a target is structured according to a particular source results in highlighting of some aspects of the target, while at the same time other aspects are hidden. Ungerer and Schmid (2006) also use the term in their account of conceptual hierarchies and the selection between superordinate and subordinate lexical items. Evans' (2009) view on the notion was explained previously but it can be summarised here as the activation of a part of a cognitive model.

My approach to highlighting shares its overriding principle with the other theories, namely the process of selection. In accordance with Lakoff and Johnson's proposal, I am arguing that its outcome is the foregrounding of particular aspects and the occlusion of others. Moreover, Evans claims that highlighting occurs within the same cognitive models, as a result of differential activation of attributes. Apart from the attributes, which will be discussed in the following section, I will also use the term to talk about the negotiation of meaning that occurs between different cognitive models. This is done because I believe that the term captures very successfully the way certain types of knowledge are foregrounded due to contextual reasons as well as to parameters related to the individual reader. An illustration of how highlighting works follows.

Firstly, at the level of cognitive models, highlighting occurs when a reader selects a model over other possible ones, as we saw in Plath's poem. The lexical item 'Ariel' could afford access to at least three models that were favoured by the reader in terms of the context. The lexical concept [ARIEL] could be interpreted as either PROPER NAME, LITERARY ENTITY, or BIBLICAL ENTITY. The particularity of this poem is that the readers need to construct a new model in order to account for a new type of meaning attribute to the concept, namely [ANIMAL NAME]. Once they have been established, each one is highlighted depending on contextual factors. When this happens the other models are occluded until deemed necessary to be brought back to the foreground. Secondly, highlighting can occur at the level of attributes within a specific cognitive model, as Evans (2009) notes. In the example of [HELEN], the text will focus on particular aspects of the cognitive model thus bringing specific attributes and values to readers' minds. If the link is established between Poe's (the source text) and H.D.'s poem, then a possible attribute that may come forth is the content of H.D.'s poem with the values of how Helen is described there, e.g. the white face and hands, the slender feet. Therefore, in this case highlighting occurs within a cognitive model and more specifically within the set of attributes and values it may contain.

4.5.4.3 Intertextual chaining

In this section I will focus on a notion that has been employed by a number of theorists to describe the cognitive phenomenon of chaining. The notion of conceptual chaining was proposed by Lakoff (1987) and was later employed by Barsalou *et al.* (1993) in order to describe the linking of specialised models. According to Lakoff, conceptual chaining produces hierarchical trees of models that highlight the most common specialisations. Barsalou *et al.* (1993) add that these should be considered

only as contextualised and mirror generic situations. In addition, there is no single word constituting the core of the concept but the common frame that refers to all specialised models provides a thread linking together the common frame and the conceptual chains.

At the same time, the term chaining has been used by Werth (1999) in order to talk about reference and how individuals keep track of situations. Werth defines an act of reference as ‘the language being used in order ... to single out some particular object already represented in the mind of the listener, or to instruct the listener mentally to set up such an object’ (1999: 156). In order to keep track of reference individuals need to *chain* the references to a single one thus preserving the continuity of the representation. A number of items used to maintain the representation exist and they can take various forms depending on a range of factors, such as the immediate physical situation, if the referent is first mentioned in the text, the distance between the textual referent and the next link and so on. Werth’s account appears to have a rather traditional grammatical outlook, as he focuses amongst other factors on the role of personal pronouns, definite noun phrases, reflexive pronouns and zero-anaphor. Nevertheless, in the analysis of a passage from Steinbeck’s *The Grapes of Wrath* (1939), he employs the notion of frames along with reference-chaining, which allows us to have a more in-depth account of how frame-based connections are sustained by the text. Werth also notes that readers can trace in texts discourse-specific knowledge.

Furthermore, a different view of chaining has been recently proposed by Stockwell (2009) when he discusses discourse and dominion. He draws on Talmy’s (2000a, 2000b) and Langacker’s (1991: 13, 2008: 103, 355) *force dynamics*, where objects, often in the form of noun-phrases, are seen as possessing kinetic energy.

This can be either part of their inherent properties or a result of an impact of other objects. Force dynamics brings about the transfer of energy to other objects and, grammatically speaking, this causes the structure of predication in conceptual terms in the form of verb-phrases. Evans and Green (2006) illustrate this using the two participants in an active sentence, namely the *agent* and the *patient* and show how energy is transferred along *an action chain* (42) from the subject to the object. Stockwell (2009) analyses an extract from Dickens' *Bleak House* (1853) and demonstrates the energy transfer among the lexical items of the passage. However, the point where his analysis correlates with my discussion is when he refers to Langacker's notion of *dominion* (2008: 33-4), which can be defined as the network of all possibilities that references bring to mind from experiential memory. According to Langacker, dominion applies not only for entities and relationships but also for predications. Stockwell (2009) states that lexical items may bring forward a number of semantic and experiential possibilities. He also argues that a chain of co-reference is realised through lexical cohesion between a central lexical item and related items, collocation relationships, and experiential associations. According to Stockwell, the dominion network of associations allows for a more psychologically plausible and loose sense and the coherence of a text can be demonstrated in many different ways.

Following from the above, I suggest that when it comes to intertextual links a particular type of chaining is in operation, which I term *intertextual chaining*. Intertextual chaining operates on two different levels. The first one refers to the linking of ideas between two literary texts in terms of the associations created. Once the semantic intertextual frame is created and the two literary texts become associated, the reader is likely to look for further points of connection in order to

strengthen the link. For this reason, he or she attempts to bring to mind further textual elements from the accessed texts which may be combined with the source text. These can be isolated words or more complex phrases. Intertextual chaining also takes place while readers bring to mind the source text itself. This draws on Stockwell's dominion tracing but describes a different process and it is a prerequisite for the successful intertextual chaining across the two texts. More specifically, it is triggered once the semantic intertextual frame is constructed upon the identification of the lexical item triggering the link. After this point, the reader will try to trace the elements in the source text that are closely related to the particular item. In other words, the reader may become more alert concerning this item. This is due to the fact that chaining at this level allows for the maintenance of the link, as the reader searches for further elements from the source text that support the construction of the semantic intertextual frame. If he or she is able to create this type of dominion chain, the link between the two texts will be strengthened, as further elements of connection will surface. In addition, intertextual chaining at source text level can also enhance the coherence of the source text itself through the creation of the chain.

To see this process in operation I will re-examine Rich's poem with a closer look at intertextual chaining. We have already seen that an intertextual link could be established between this text and Blake's 'The Tyger'. In 'Aunt Jennifer's Tigers', one can observe that the intertextual connection is triggered by the lexical vehicle *tigers*, which is likely to trigger the cognitive models described above. After establishing the connection, readers may start creating stronger ties between the two poems. The noun 'topaz' brings to mind the semantic field of brightness and light which is shared with the present participle 'burning' of the line 'Tyger, Tyger burning bright'. At the same time, the adjective 'bright' is common in both poems

and it reinforces the semantic field of brightness. Moreover, the intertextual connection is further maintained by the occurrence of the noun phrase ‘a world of green’ which links back to Blake’s ‘forest of the night’, while creating a chain with the noun ‘tree’. Additionally, the feeling of dominion is reinforced by the feeling created concerning the animals. More specifically, Rich’s description of the animals creates a chain across the poem and reveals them as prancing in the forest proud and unafraid of the human beings. This contrasts strongly with how Aunt Jennifer is depicted but also correlates with the atmosphere rendered in Blake’s poem. There, the tiger is seen as fearless, dreadful and majestic. Consequently, we can observe how intertextual chaining can operate on two levels. Firstly, it establishes the connection between the texts and then, along with dominion chaining, maintains the established link by tracing in the source text the shared elements with the target one. The lexical item *tiger* initiates the dominion chain within the boundaries of Rich’s poem marked in Figure 4.9 by the bold arrows. The dominion chain then can provide the basis for forming the intertextual chain between the two poems bringing together the common elements, which are in the dotted circles.

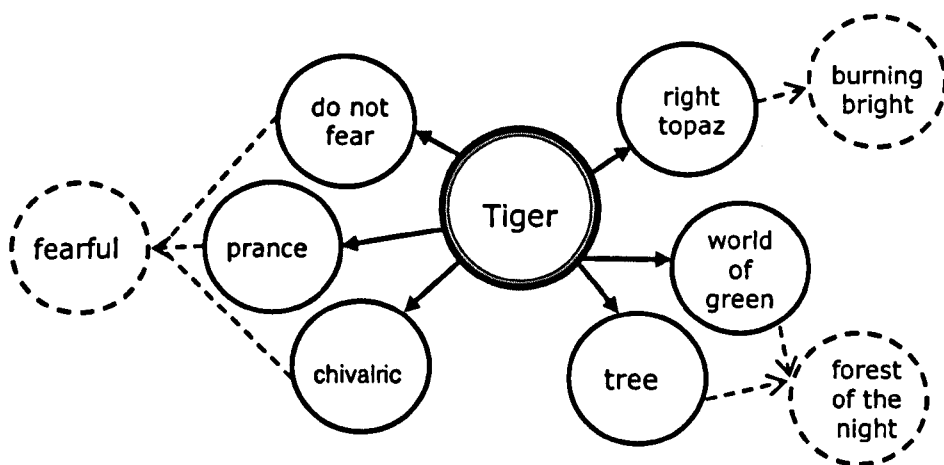


Figure 4.9 Intertextual chaining for *tiger*

Although intertextual chaining is crucial for the generation of intertextual connections, the process that was described above does not necessarily occur every time a semantic intertextual frame is created. Rather, it should be considered a feature of strong intertextual connections, since it depends on the individual reader's ability to both trace the related elements in the source text and to relate them to the corresponding ones in the accessed text. Intertextual chaining will also be discussed when presenting the results of the study in Chapter 7. More specifically, I will examine how participants bring textual elements together after the construction of the link and how this affects the reading experience. The following section will focus on the quality of the intertextual links and how they affect the reading experience.

4.6 Texture and semantic intertextual connection

In Chapter 3 I referred to the main characteristics of intertextual frames with a specific focus on *texture*. Texture was defined as the feature that describes the quality of the intertextual connection. It has been already established that it is assessed in terms of readerly-driven and text-driven criteria and that it should be regarded as a continuum, whose ends are *fine intertextual texture* and *faint intertextual texture*. The readerly-driven criteria used to assess it are granularity and resonance, while the text-driven ones are textuality and specificity. As this chapter has developed around the semantic intertextual connection, I will provide an extended example of how fine and faint intertextual readings are produced using the above criteria and what we already know concerning semantic intertextual frames. In order to do so, I would like to consider the poem 'The Rose' by Coleridge.

The Rose

As late each flower that sweetest blows
I plucked, the Garden's pride!
Within the petals of a Rose

A sleeping Love I spied.

Around his brows a beamy wreath
Of many a lucent hue;
All purple glowed his cheek, beneath,
Inebriate with dew.

I softly seized the unguarded Power,
Nor scared his balmy rest:
And placed him, caged within the flower,
On spotless Sara's breast.

But when unweeting of the guile
Awoke the prisoner sweet,
He struggled to escape awhile
And stamped his faery feet.

Ah! soon the soul-entrancing sight
Subdued the impatient boy!
He gazed! he thrilled with deep delight!
Then clapped his wings for joy.

'And O!' he cried—'of magic kind
What charms this Throne endear!
Some other Love let Venus find--
I'll fix my empire here.'

Samuel Taylor Coleridge (1793)

I will focus on the vehicle *rose* and the intertextual connections that surface. These two lexical items afford access to the lexical concept [ROSE], which in turn provides access to a number of cognitive models. Figure 4.10 represents part of the cognitive models accessed.

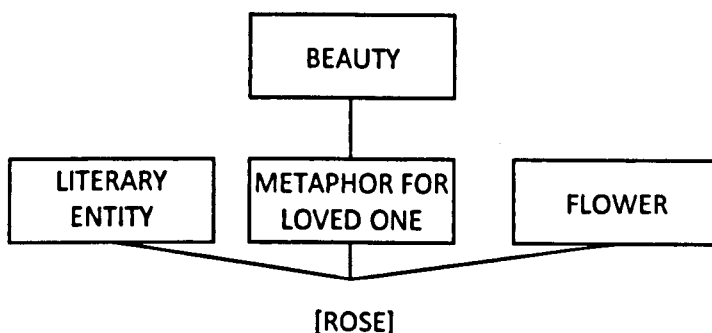


Figure 4.10 A partial cognitive model for [ROSE]

The lexical concept, therefore, provides access to a number of primary and secondary cognitive models, such as FLOWER, SYMBOL OF AFFECTION and METAPHOR FOR LOVED ONE. Concerning the generation of intertextual connections, *rose* has been used by many poets providing access to all these cognitive models. A very brief account includes poets like William Blake, H.D., e.e cummings, Robert Burns, Robert Frost and Dorothy Parker. My discussion of texture will be based on the construction of a semantic intertextual frame arising from the lexical item 'rose' and providing access to Dorothy Parker's poem 'A perfect rose' (1926) quoted below. This intertextual link reflects my personal response to Coleridge's poem establishing a dialogue with 'One perfect rose'. The link allows for a more ironic approach to 'The Rose' by juxtaposing a romanticised outlook on love expressed by the male poetic persona with a more pragmatic one favoured by the female persona of Parker's poem.

One Perfect Rose

A single flow'r he sent me, since we met.
All tenderly his messenger he chose;
Deep-hearted, pure, with scented dew still wet -
One perfect rose.

I knew the language of the floweret;
'My fragile leaves,' it said, 'his heart enclose.'
Love long has taken for his amulet
One perfect rose.

Why is it no one ever sent me yet
One perfect limousine, do you suppose?
Ah no, it's always just my luck to get
One perfect rose.

Dorothy Parker (1926)

Having established the intertextual link, I am going to focus on particular aspects that lead to the generation of fine intertextual connections. From the point of

the reader, the first criterion is high granularity. High granularity is related to the amount of information that readers can bring to their minds as a result of the intertextual link. The greater the amount of information triggered, the higher the degree of granularity. It becomes clear that granularity is associated not only with the emergence of cognitive models but more importantly with attributes and their values, as it is the existence of these two notions that dictates how detailed the outcome of the connection will be. This being said, a highly granular intertextual link between Coleridge's and Parker's poems implies that a lot of attributes and values of the latter will be activated. For example, a possible triggered set includes the attributes' *content* of the poem as well as certain values, i.e. *specific lines* from it. In other words, this means that readers will be able to remember the line of 'One perfect rose': 'A single flow'r he sent me, since we met'. The other readerly-driven criterion is prolonged resonance, meaning that the intertextual link will have a lasting effect on the reading experience. Moreover, it will probably reinforce the connection between the texts in later points and allow the reader to gain another perspective towards both the source and the activated text. For example, it may be suggested that the established link may influence the way the third stanza of Coleridge's poem is approached. More specifically, in the stanza the poetic persona offers his beloved the flower where a cupid-like personification of love is hidden. The same gesture is described in Parker's poem, where the petals metaphorically enclose the heart of her admirer. If a reader has in mind the attribute related to the content of the poem, resonance will be in operation and strengthen the link when the word 'caged' is encountered due to the fact that the lexical item 'enclosed' is found in the accessed text. Prolonged resonance, thus, helps readers establish lasting connections and uncover further points of contact, as with the case we just examined. Hence,

resonance can be linked with the concept of chaining. Both chaining and resonance bring together and bind elements of the text reinforcing the effect of intertextuality and the juxtaposition between Coleridge's and Parker's poems.

When it comes to the text-driven criteria, I have identified strong textuality and distinct specificity as the conditions contributing to fine intertextual texture. In the case of strong textuality the readers can point to particular textual elements that serve as vehicles for the creation of links. In the above text, these are the lexical items 'petals of a Rose' as well as the title 'The rose'. In addition, taking into consideration that chaining and resonance are in operation, then distinct specificity can be extended to the recognition of the vehicles 'caged', 'the Garden's pride' and 'dew' as points of access for the creation of intertextual connections. Finally, distinct specificity related again to the quality of the activated knowledge, as was the case with resonance. Nonetheless, distinct specificity has to do more with whether the readers are able to point to a particular text as the accessed text, for example Parker's 'A Perfect Rose'. In this sense, distinct specificity can be seen as a precondition for the surfacing of granularity effects.

So far, I have presented an illustration of how fine intertextual texture can be generated. On the other hand, faint intertextual effects can also surface when individuals read literary texts. Using the above framework I will discuss how weak intertextual connections may surface. Bearing in mind that intertextual texture is a continuum, one can suggest that at its very end we have the case where almost no intertextual link is established. If readers do identify a vehicle, then there are a number of options available in order to explain why the intertextual connection is faint rather than fine. Firstly, this can be attributed to indistinct specificity, which means that they are not able to point to a particular text after the identification of a

vehicle and a cognitive model. For example, they would be familiar with the cognitive model LITERARY ENTITY but they would not bring to their mind any particular text. In addition, another case would be that of weak textuality, where readers fail to identify specific textual elements as vehicles. Thirdly, faint intertextual texture can be attributed to low granularity. As this criterion relates to the attributes and values of the activated cognitive model, it can be said that in this case a link has been successfully created but readers are not in possession of a sufficient amount of background information stored in the form of attributes and values. In this example, this would entail that they do not have a clear idea of the content of the accessed poem and do not remember specific lexical occurrences. Finally, the last criterion is momentary resonance, when readers do create a link but this does not manage to exceed the boundaries of the line or phrase where it was created. Rather, it fades away quickly without influencing further the reading and the interpretation of the literary text. Momentary resonance can also be related to the readers' inability to activate a large number of attributes and values. This way, chaining cannot take place and the link is not sustained.

In conclusion, it can be observed that the different types of weak intertextual effects I described above fit in with my claim that intertextuality should be examined as a continuum. The continuum I provided also shed light on a number of possible types of intertextual meaning generation. Thus, when intertextuality is studied, it would be very useful to take into consideration this continuum and the various ways that intertextual links can be manifested.

4.7 Frame repair and pseudo-intertextuality

In this section, I will focus on two different phenomena that may occur while an individual is reading a text and intertextual links surface. Up to this point, I have

examined cases where the intertextual link was either successfully or unsuccessfully established. Nevertheless, readers may establish an intertextual link based on the activation of a cognitive model but, soon afterwards, realise that the link is not sustained by the text. Thus, they have to re-interpret the vehicle that led them to the construction of the link and modify their reading of the text respectively. This process has been termed *frame repair* in a different context by Emmott (1997: 160-162). In narrative comprehension, frame repair refers to the instances where readers miscue and interpret wrongly textual elements. Once, though, they realise that they are using the wrong frame, they are forced to change their assumptions and 'repair' their representation. The same may occur with semantic intertextual frames. Readers may initially create an intertextual link based on cognitive model activation but the textual cues might direct them towards reassessing the link and repairing the semantic intertextual frame or erasing it. As an example, I provide here an account of my own reading where a semantic intertextual frame was activated but at a later stage I had to repair it. The poem I started reading was Hughes' 'Daffodils' (1998). The first stanza is quoted below; the tone remains the same throughout the poem.

Daffodils

Remember how we picked the daffodils?
Nobody else remembers, but I remember.
Your daughter came with her armfuls, eager and happy,
Helping the harvest. She has forgotten.
She cannot even remember you. And we sold them.
It sounds like sacrilege, but we sold them.
Were we so poor? Old Stoneman, the grocer,
Boss-eyed, his blood-pressure purpling to beetroot
(It was his last chance,
He would die in the same great freeze as you),
He persuaded us. Every Spring
He always bought them, sevenpence a dozen,
'A custom of the house'.

Ted Hughes (1998, ll. 1-13)

Upon reading the title of the title of the poem, the lexical item *daffodils* afforded access to the lexical concept of [DAFFODILS] and that provided access to the cognitive model LITERARY ENTITY bringing to mind William Wordsworth's famous poem 'I wandered lonely as a cloud' (1815). The attribute CONTENT may also surface bringing to mind the content of the activated poem. This way an intertextual link between the two texts was created. Consequently, I made the initial assumption that the two poems are related to each other and based on that I anticipated more points of contact between the two. However, as I continued reading Hughes' poem, I realised that the intertextual frame I had established could not be sustained. From the very beginning, it becomes apparent that the theme of Hughes' poem is radically opposed to Wordsworth's. The images of death, poverty and harsh living conditions of the first stanza contrast starkly with the beauty and serenity of nature described in the other poem. While reading this stanza, I was monitoring the text in order to track down lexical items that would support the established intertextual link. In other words, I was employing the principle of *intertextual chaining* so that I could validate the accuracy of the link and to further enrich the texture of the connection. However, the poem does not contain any lexical item that would allow the activation of the attributes and values they may possess concerning the activated text, such as specific word occurrences or further relationships based on the content. Thus, I had to reassess the previous assumption concerning an intertextual connection and neglect the constructed frame. Nevertheless, it should be stressed that despite the fact that the link is neglected, the original juxtaposition between the two poems may affect the reading experience and foreground the harsh living conditions of the poetic persona and the addressee.

The other case is that of what I term *pseudo-intertextuality*. Pseudo-intertextuality can be related to Kotthoff's term *pseudo-citation* (2002: 209), which refers to a situation where the author of the reported utterance is of no interest. I will be using the term pseudo-intertextuality in order to describe the case when the text prompts a reader to create intertextual links, but these links are very difficult to sustain as the readers are very unlikely to possess the necessary background knowledge in order to construct the link. This may also result from the fact that the author of the work has deliberately used non-existent texts. One such example is Borges' 'Tlön, Uqbar, Orbis Tertius' (1941) where the narrator (in this case 'Borges' himself) presents a number of fictional texts as real and consciously leads the readers towards the creation of intertextual links between the text they are reading and the fictional ones that Borges invents as well. The reader of 'Tlön, Uqbar, Orbis Tertius' monitors closely the intellectual creation of a world. At the same time, the narrator participates remotely in a similar process through the weaving of the fictional world in his own mind as a result of the various intertextual references. A series of invented texts, such as the fictional encyclopaedia called *The Anglo-American Cyclopaedia* and a book called *History of the Land Called Uqbar*, is presented by the narrator, but the reader can only assume, accept or reject their existence. If readers accept them as real examples of texts, then they themselves build a fictional corpus that will allow them to believe in the existence of the fictional land of Uqbar as well. If they see them as outcomes of authorial intervention, pseudo-intertextuality cannot be established either. Consequently, pseudo-textuality emerges in cases when the author has deliberately incorporated references to non-existent texts in his/her work. The effect it has on the readers depends on whether they identify the instances as

invented ones or actual cases of intertextual references which build on texts unknown to them.

4.8 Review

This chapter has a focal position in my argument about the cognitive nature of intertextuality and intertextual connections. I presented a new approach to the notion based on Evans' LCCM Theory and I argued in favour of the generation of intertextual connections based on the construction of semantic intertextual frames. In other words, I identified individual lexical items as a potential trigger of intertextual connections. Semantic intertextual frames attempt to account for the creation of idiosyncratic intertextual connections that arise from the identification of single lexical items. The scale provided in section 4.5.2 aimed at capturing the different types of connections and the varying degree of idiosyncrasy. In this chapter the intertextual connections were discussed in terms of lexical relations such as hyponymy and cognitive synonymy. However, the connections between 'incompatible' (see Figure 4.8) lexical items were not explored in the thesis. This type of connections addresses the very idiosyncratic intertextual connections formed by looser word associations, as these have been described by Lakoff (1987). Nevertheless, I believe that future elaboration on the model will be able to describe very idiosyncratic readings involving lexical items that are part of structured activities or actions and activities that pertain to the same or similar objects. For instance, it will be able to explain the connections of lexical items such as *university*, *student*, *lecturer*.

Moreover, one of my main preoccupations was to highlight the importance of *context* in the generation of intertextual relations. I attempted to illustrate how

contextual factors influence readers and their engagement with the text, and that intertextual readings are the result of a collaborative process prompted by a reader's intertextual knowledge but sustained by the text. The role of context was foregrounded when I analysed Plath's 'Ariel' and Bogan's 'The Crows' and it acquired a central position when discussing intertextual chaining. In these two examples, I demonstrated how the surrounding textual elements can be used by the reader to furnish the semantic intertextual frames. In the case of Bogan's poem, I demonstrated how the frame can bear larger effects through the chaining of multiple items and how the accessed text can be joined with the source text to enrich the reading experience. A major advantage of this account is that by placing emphasis on the context and its role one of the major shortcomings of cognitive linguistics can be tackled. Cognitive linguistic theories have not dealt very successfully with the level of discourse. Therefore, such an approach allows us to see how cognitive linguistic principles can be applied to larger stretches of speech. In the following chapter I will continue the account of intertextuality in relation to the discourse level.

5 Topical intertextual frames

5.1 Introduction

In this chapter, I will focus my account on the description of topical intertextual frames, which are created by triggering topical intertextual knowledge. The approach I will adopt is related to how readers comprehend texts based on the construction of worlds projected by a (literary) text. The main difference with semantic intertextual frames is that the latter have a restricted effect on the reading experience due to the fact that they arise from a single lexical item. On the other hand, topical intertextual frames are built based on the identification of similarities on a larger scale, that is, the theme of the works. Rather than accessing one cognitive model, a reader needs to activate multiple, albeit related, models and this activation will point towards the construction of an intertextually-built text world. This world will be furnished with elements both present and absent from the text and its activation will potentially have global effects on the reading experience. I have chosen text world theory as the model for the discussion of intertextually-built text worlds, as it offers the tools necessary to describe in detail the creation of fictional worlds. A brief overview of the theory will be presented and this will be followed by an account of the nature of topical intertextual knowledge, which will serve as a stepping stone for introducing the corresponding frames.

5.2 Text world theory: an overview

Text world theory owes its existence to Paul Werth's influential work from the eighties until the mid-nineties (e.g. 1994, 1995, 1999). It has many affinities with Fauconnier's (1994, 1997) notion of *mental spaces*, *narrative worlds* from cognitive

psychology (e.g. Gerrig, 1993) as well as *possible* and *discourse worlds* (Ryan, 1991; Semino 1997; Doležel, 1988, 1998; and Searle, 1975). The study of text worlds has been enriched by the research conducted by Gavins (e.g. 2000, 2003, 2007), Semino (e.g. 1995, 2009) and Hidalgo Downing (e.g. 2000) amongst others, and has introduced a notion of *world* much richer and more complex cognitively than mental space and possible world theory (Stockwell, 2002).

For Gavins (2007), text world theory is firstly and foremostly a discourse framework that takes into account both how a text is constructed as well as how context influences its production and reception. In order to achieve this, Werth (1999) distinguishes between three levels of worlds: at the highest level, we encounter the *discourse world*, which refers to face-to-face interaction between at least two discourse participants. *Text worlds* are located a level below and can be defined as the cognitive mechanism that allows us to understand a text. The third level in text world theory is that of sub-worlds. Sub-worlds are created by changes in spatial and temporal parameters in a text world and thus, they are embedded into it. Gavins (e.g. 2005, 2007) suggests that this term, originally Werth's (1999), is misleading because it implies that these worlds are subordinate to the original text world. To avoid confusion, she proposes the term 'world-switch' (Gavins, 2005), which delineates better the nature of the newly created worlds.

Discourse participants use certain textual elements in order to construct the text world, namely *world building elements* and *function-advancing propositions* (Werth, 1999: 180-207). Werth (1999) uses the notion 'world-builders' (182) after Fauconnier's space-builders (1994) and identifies three types, namely *time*, *place* and *entities*. The first two include adverbs of time or locative adverbs, temporal and locative adverbial clauses, noun-phrases with locative meaning and time-zone

adverbs. The last is a more open category, which comprises any type of noun phrase, either concrete or abstract, in any position. Entities can be either sentient and active or passive and are respectively termed *characters* or *objects*. An overarching term for sentient entities is *protagonist*. If the entities produce or interpret discourse, then they are called *participants*. If they are embedded in a text world they are called characters, which are defined by Werth (1999) as ‘the people that the participants people the text world with’ (189). Characters are agents that can carry out actions and bear properties ascribed to them. Concerning their ontological status, Werth states that they can either be representations of the participants or of people the participants know or they may be fictional.

Drawing on Bockting (1994) Werth also remarks that once they are created, characters are capable of leading an independent conceptual life. In other words, characters seem to be in possession of their own private set of wishes, aspirations and beliefs that are not accessible to the participants. As Stockwell (2003: 259) notes, readers (his counterpart for participants) ‘need to keep track of characters and their evolving sets of knowledge and viewpoint’ and this will allow for the delineation of a complete, richly imagined psychological entity. Stockwell (2003) mentions that there are cases where readers act as if characters are real and they can even identify or sympathise with them. Finally, there is also another set of elements termed *function-advancing propositions*, which refer to the textual elements advancing the plot. They operate primarily at text world level (and during world-switches) but they can also operate at discourse level. Gavins (2007) notes that the word ‘function’ in this context refers to the purpose of the text and the communicative objectives of the speaker or writer.

It can thus be suggested that text world theory provides us with a highly comprehensive way of accounting for the construction of mental representations of discourse in the minds of readers. A crucial aspect of this is creating and furnishing the text worlds. Before moving on to the discussion of topical intertextual frames and text world theory, I would like focus on how intertextuality has been dealt with by other theories related to text worlds in order to highlight the points that remain insufficiently addressed.

5.3 Intertextuality and the construction of worlds

The connection between intertextuality and fictional worlds has been pointed out by Doležel (1998: 202), when he claims that ‘literary works are linked not only on the level of texture but also, and not less importantly, on the level of fictional worlds’. According to Doležel, fictional worlds become objects of the ‘active, evolving, and recycling cultural memory’ (1998: 202). This type of intertextual knowledge is similar to Eco’s notion of ‘intertextual frames’ (1979: 21), which also refers to the stored knowledge of cultural significance, such as genre rules and narrative structures. In addition, Riffaterre’s proposed notion of ‘literary topoi’, the semiotic levels used by the text in the form of ‘lexicon, and a collection of images, a sequence of representations, that have been prearranged, ready-made and tested to use’ (1973: 40). We can easily spot the correlating points amongst these three observations. They all argue in favour of pre-existing sets of knowledge that are activated when reading literary texts. Interestingly, Kristeva (1989) makes a similar remark about the content of literary works, namely that intertextuality ‘assumes an interplay of contents and not of forms alone’ (282). Concerning the effect fictional worlds may have, Doležel (1989) remarks that they are more memorable than the texture that brought the text

into existence adding that an individual will more readily bring to mind the content of a work, rather than the style and its narrative mode.

At the same time, Ryan (1991) includes a brief discussion of intertextuality in her account of possible world theory, and more specifically in the account of the principle of minimal departure. She states that 'texts exist as potential objects of knowledge and that knowledge can be singled out as relevant material for the construction of a textual universe' (1991: 54). Ryan, though, sees intertextuality either as 'the emergence of meaning from a horizon of expectations ... or as a ludic transformation of foreign textual material' (1991: 25). In addition, she refers to intertextuality both from the point of view of authors and readers. The former may have at their disposal textual universes as frames of reference allowing them to develop their work, while the latter recognise the universe of another fiction in the one they read. Interestingly, she states that the notion of intertextuality rejects the claim that textual meaning is the product of a self-enclosed system but rather that readers are in possession of a 'generic landscape' (1991: 55), which is solidified through a process of filtration. Readers gather information elements from the themes of many works and they create abstractions, which they use while reading texts of a particular genre in order to furnish the worlds described in accordance with the principle of minimal departure. However, as Ryan's discussion of intertextuality is merely in terms of this principle of minimal departure, it does not offer a more detailed account of how intertextuality can be employed in the construction of possible worlds. Rather, it remains at a more general level referring to how our knowledge about particular genres comes into play when we read literary works.

It becomes clear from the above that possible-worlds theorists have touched upon the relation between intertextuality and world creation, though their discussions

remain superficial and never reach fine detail. On the other hand, the cognitive poetic approaches to text worlds have generally disregarded intertextuality. Only Semino's (2009) discussion of Carol Ann Duffy's 'Mrs Midas' (1999) and Ovid's rendering of King Midas' story from *Metamorphoses* touches upon the intertextual relations of the two texts. However, her focus remains primarily on text world theory and the notion of intertextuality is merely employed in order to highlight the relationship between them. At first, Semino offers an analysis of the texts based on possible-worlds approaches, only to reject it as insufficient claiming that possible worlds do not successfully account for the richness and complexity of the two texts. More specifically, they fail to account for the subtle manifestations and consequences of intertextuality in 'Mrs Midas' and they also fall short when it comes to accounting for online text processing. The reason for this is that possible world approaches texts as the 'product of comprehension' (Semino, 2009: 55) and the relatively fixed result of the interpretation process.

For a more linguistically detailed analysis, Semino states that she has to turn to text world theory. This is also necessary if we are to look more closely at the effects the intertextuality has on the readers. According to Semino, though, text world theory alone cannot do justice to the complexity of intertextual connections, so she combines it with blending theory (e.g. Fauconnier and Turner, 2002). This way the analysis becomes more detailed and also the blended story may allow for inferences concerning the readers' view of the mythological story or even the 'real-world' frames about men, women and marriage. I would like to stress here one of the concluding remarks Semino makes concerning the future challenges of text world theory. This challenge is to combine text world theory with detailed stylistic analysis or even better 'to strive to include more systematically the role of linguistic choices

and patterns in the projection of text worlds' (2009: 67). One of the basic goals of this chapter is exactly to combine the account of intertextual meaning generation with a detailed stylistic analysis and demonstrate how linguistic choices contribute to the construction of worlds.

5.3.1 Topical intertextual knowledge

In Chapter 3, I briefly referred to topical intertextual knowledge, i.e. individuals' stored knowledge concerning the themes and topics treated in literary works. In other words, this is information which goes beyond word-level occurrences and can be related to the general theme of the poem or the topic of the story. Therefore, it can reach any level of detail including information about the main protagonists and secondary characters, the place(s) the action takes place, the era and possible subplots. At this point, it becomes clearer that the types of texts that are more likely to be the sources of topical intertextual connections are works of fiction, plays, long poems or more broadly cultural knowledge like myths or legends. The reason for this is that they are more detailed in terms of the types of information (e.g. characters, time, place) and thus, readers are more likely to store them as meaningful.

Interestingly, a similar idea can be traced in literary criticism under the term *intertext*, as it has been defined by a number of critics (e.g. Bloom, 1975; Hutcheon, 1985, 1989; Kaup, 1993), excluding Riffaterre, and Genette's *hypotext* (e.g. 1997a: 5). According to Allen (2000), these two notions are interchangeable, as hypotext refers to the text that can be definitely identified as a major source of influence and significance for a text, while the notion of intertext has been defined as the literary text standing behind the creation of a new one. For example, Kaup (1993) discusses in detail the interrelations between Charlotte Brönte's *Jane Eyre* (1847) and Jean Rhys' *The Wide Sargasso Sea* (1966) and demonstrates the points of contact of the

two works as well as the influences the former exerts on the latter. In addition, Müller (1991) points to Shakespeare's *Hamlet* as the intertext of Stoppard's *Rosencrantz and Guildenstern Are Dead* (1968). These two examples are illustrative of the research conducted regarding the relationship between texts and their antecedents and the way intertexts influence our interpretation.

Interestingly, Doležel's remark (1989) that readers remember fictional worlds better than specific elements related to the texture of a work is shared with the findings of research conducted in the fields of critical discourse analysis and cognitive psychology. Both fields have employed the term *macro-structure* (e.g. van Dijk 1977, 1980; Kintsch and van Dijk, 1978) in order to describe our ability to summarise stories. Individuals possess a number of categories according to the way they classify the propositions described in a narrative. The categories are termed 'macro-categories' and they 'define the function of a part of a text with respect to the text as a whole' (van Dijk, 1976: 555). These categories store information about the setting (location and time), the participants and their roles. In the case of literary discourse, van Dijk (1979) says that macro-structures allow us to represent the content at a global level. This is achieved by generalising the propositions, i.e. the events described in sentences, on a more distant and abstract level. Van Dijk also stresses that macro-structures are organised in high-level memory (1979). They are stored in our episodic memory (Tulving, 1972), the part of long-term memory where our personal experiences, events and situations are stored. For this reason, they are sometimes 'personal and subjective' since they carry 'personal knowledge, beliefs, and opinions' (van Dijk, 1980: 244). Another related aspect is that they contain 'what is important or relevant in a text for one reader' (van Dijk, 1979: 149).

Consequently, it can be suggested that topical intertextual knowledge reflects the proposal of literary critics regarding the way intertextual connections are created with findings from the field of cognitive psychology supporting the individuals' abilities to store information concerning the global structure of texts. Following van Dijk's suggestions, I argue that topical intertextual knowledge forms part of high-level memory thus making its retrieval faster and easier. At the same time, the information is personal and subjective, since readers store there elements that they consider important or relevant for them, which brings us back to the personal and idiosyncratic nature of intertextual knowledge as discussed in Chapter 3 (3.5.1). Finally, it is its relation with macro-structures that allows knowledge concerning the location, the time and the characters of literary works to be stored in the particular domain.

Having specified the nature of topical intertextual knowledge, I would like to continue the discussion by moving to the creation of intertextual connections through the emergence of topical intertextual frames. In the following section, I will introduce the notion by comparing it to semantic intertextual frames.

5.3.2 The relation of topical and semantic intertextual frames

Generally, topical intertextual frames are very closely related to semantic intertextual frames. More specifically, topical intertextual frames are activated when a reader comes across various lexical items that give rise to related semantic intertextual frames. Therefore, the existence of the latter is a prerequisite for the activation of topical frames. However, there are a number of features that draw them apart. The most distinctive difference is that topical intertextual frames are formed based on knowledge concerning the *content* of literary works, which forms the basis for the creation of the intertextual link. In other words, readers can trace more than one

lexical item and, more importantly, lexical concepts used to activate topical frames. The extensive number of shared lexical items helps readers construct topical frames on the basis of similarities in the content of two literary works. Contrarily, semantic intertextual frames are formed due to the activation of intertextual knowledge at word level. Readers do not need to come across a large number of lexical items in order to activate them. As we have seen in Chapter 4, the occurrence of a single word, like 'rose' or 'tiger' or 'Helen', may act as a vehicle for the activation of the cognitive model LITERARY ENTITY. This of course can be followed by the chaining of related items that will enrich the reading experience and the texture of the constructed link but, nevertheless, the link is grounded on the occurrence of a single lexical item. In order, thus, to talk about similarities on the level of content, we need a more extended approach that would be able to capture these similarities.

Another feature of topical intertextual frames, which is directly related to the previous feature, is their 'global' focus in relation to the text and the effect their activation may have on the reading experience. By global focus I mean that the reader would need to draw on lexical items from various parts of the source text in order to complete the topical frame. This brings into focus another difference from semantic frames, namely that the elements need to be present in the text. In other words, readers should be able to locate concrete lexical concepts that give rise to related cognitive models and attributes. In the case of semantic frames, the link is more abstract and conceptual, since it was based on word-level activation with the possibility of intertextual chaining following (temporally) the activation. These effects were prompted by the text but readers' encyclopaedic knowledge played a major role in the completion of the frame. In contrast, topical intertextual frames require the presence of lexical concepts that would afford access to the cognitive

model containing the intertextual knowledge. The identification of a number of different lexical concepts prompts and facilitates the creation of more complete and concrete frames.

Another distinctive characteristic of topical intertextual frames is that they are less idiosyncratic than semantic frames, since their creation depends on the identification of multiple lexical concepts. It is more unlikely for a reader to construct a uniquely personal intertextual reading of a text drawing on a topical intertextual frame if he or she has to base his/her interpretation on multiple items rather than a single occurrence. This is reinforced by the fact that the reader has to trace similarities based on the content of two literary works. When the link is created based only on a single word occurrence, then readers are freer to make their own connections but the need for the connection of many related lexical concepts limits the scope of the links. An implication is that readers are more guided by the content into forming specific intertextual connections. In other words, the source text contains a number of elements such as characters and settings that, when brought together, point directly to a particular text, in which the same characters and settings can be found.

Finally, the effect of the creation of topical intertextual frames is likely to be more prominent and lasting due to their relation to the context which spans across the source text. Conversely, semantic intertextual frames have a more local effect, owing to the fact that they are triggered by a single lexical item. Concerning their effect though, we saw in the previous chapter that they may indeed have quite a lasting presence in the reader's mind, especially when successful chaining takes place. However, this effect is less powerful, since it is difficult for the reader to maintain the link in the foreground without constant prompts.

Consequently, we can summarise the features of topical intertextual frames as follows:

- They arise from the identification of multiple related lexical concepts present in the literary text;
- They draw on the content of the activated text;
- They are less idiosyncratic due to the activation by multiple related items;
- They have a more lasting effect due to their connection to the content of the text (both source and target).

At this point, I would like to provide a brief example of a text that could give rise to a topical intertextual frame. I will only focus on the emergence of the topical intertextual frame based on the creation of semantic frames. The literary text used for the illustration is W.B. Yeats' poem 'Leda and the Swan' (1923), quoted below:

Leda and the Swan

A sudden blow: the great wings beating still
Above the staggering girl, her thighs caressed
By the dark webs, her nape caught in his bill,
He holds her helpless breast upon his breast.

How can those terrified vague fingers push
The feathered glory from her loosening thighs?
And how can body, laid in that white rush,
But feel the strange heart beating where it lies?

A shudder in the loins engenders there
The broken wall, the burning roof and tower
And Agamemnon dead.

Being so caught up,
So mastered by the brute blood of the air,
Did she put on his knowledge with his power
Before the indifferent beak could let her drop.

W.B. Yeats (1923)

This poem is based on the ancient Greek myth of Leda's rape by Zeus, which resulted in the birth of Helen of Troy. Yeats traces and links the consequences of the rape and the conception of Helen with the tragic fate of not only Troy but also of the Danaans that took part in the war, such as Agamemnon, by providing a very succinct yet powerful and almost impressionistic outline. The tragic events are summarised in the length of two lines: 'The broken wall, the burning roof and tower/ And Agamemnon dead'. Fragmentary images transport the reader into different points in time creating the illusion of experiencing a vision. In addition, the fragmentation is reinforced by the lack of verbs in the sentence. Despite this, the reader can still create a topical intertextual frame based on specific aspects of his or her intertextual knowledge along with specific lexical concepts and cognitive models found in this poem. Firstly, the title of the poem, 'Leda and the Swan', triggers a semantic intertextual frame based on the vehicle *Leda* which in conjunction with the noun phrase *the Swan* directs the activation of the primary cognitive model MYTHOLOGICAL ENTITY. Once this model is activated, then access is provided to the attributes and their values. This way the reader might recall that Leda is the mother of Helen of Troy and by association bring to mind the Trojan war. Actually, Helen is never directly mentioned in the poem. Readers need to rely on their encyclopaedic knowledge and infer that she will be the product of the rape.

Nevertheless, in order for the topical frame to emerge, the reader has to access more lexical concepts and cognitive models. This is possible when coming across the description of the lines I quoted above. The vehicles *broken wall*, *burning roof* and [burning] *tower* provide access to the lexical concept [TROY]. This should also be seen as a result of chaining, which enables a reader to link the previously activated information about Helen of Troy to the current reference to the destroyed

city as the destroyed Troy itself. Consequently, the lexical concept will afford access to the cognitive model DESTROYED CITY. A number of attributes are also expected to surface concerning the mythological heroes that took part in the war and their fate, the role of the gods etc.

Moreover, there is another means by which the images of devastation are foregrounded and the reader's attention is guided towards constructing a mental image of destruction. More specifically, the reader is invited to focus his or her attention on different parts of the city situated higher each time i.e. 'wall', 'roof' and 'tower'. Firstly, s/he is invited to picture the walls, then the roofs and finally reach the top of the city by picturing the burning towers. This way they can witness the destruction of Troy in its totality. The topical intertextual frame is further furnished with the occurrence of the lexical item 'Agamemnon'. The vehicle *Agamemnon* will afford access to the lexical concept [AGAMEMNON], which will in turn provide access to the cognitive model MYTHOLOGICAL ENTITY. Readers familiar with ancient Greek mythology will be able to activate again a number of attributes and the respective values concerning the role of Agamemnon in the war and his life. The adjective 'dead' will influence the activation of values related to the circumstances of Agamemnon's death, namely his murder by his wife Clytemnestra and her lover Aegisthus upon his return from Troy.

Consequently, to this point three different textual sources have contributed to the construction of the topical intertextual frame. Firstly, the title, which activates knowledge concerning Helen of Troy, secondly the line describing the destruction of Troy, and finally the reference to Agamemnon, which alludes to the fate of the heroes after the end of the war. All three elements are manifested in their own right in the text and afford access to cognitive models that contain related attributes. Both

the vehicles 'Leda' and 'Agamemnon' activate the cognitive model MYTHOLOGICAL ENTITY, which each time has different attributes and values. 'Leda' and 'Agamemnon' are connected through Helen of Troy that is likely to be activated as part of their respective values. Simultaneously, the lexical concept [TROY] will be also become a member of the matrix through the activation of the common value.

I believe that this brief analysis illustrates the important difference between semantic and topical intertextual frames, namely that topical frames are formed by the occurrence of a number of specific lexical concepts present in the literary text. In this case the topical frame was formed by the combination of three semantic ones and by drawing on the common elements of the surfacing cognitive models. Therefore, it can be suggested that a more complex network of relationships is developed based on the lexical concepts of the texts and the activated cognitive models, attributes and values. This is also related to the fact that topical intertextual frames are less likely to be idiosyncratic, since the reader needs to track and bring together a number of elements from the text and also combine these with pre-existing knowledge. The common attributes and values of the activated cognitive models are also foregrounded and combined contributing to the construction of a kind of 'intertext', which completes and binds the story together. In the following sections, I will focus my discussion on the features of topical intertextual frames and discuss the effect they have on the reading experience.

5.4 The features of topical intertextual frames

In this section, I would like to refer in greater detail to the way intertextuality and text world theory can be brought together in order to account for the generation of

topical intertextual frames. For this reason, I will now discuss the features of topical frames in relation to their affinities with text world theory.

a) The conceptual nature of intertextually-built text worlds

Werth's (1999) working definition of text worlds was 'conceptual scenarios containing just enough information to make sense of the particular utterance they correspond to' (7). Later on in the book, this evolved into 'a deictic space, defined initially by the elements of the discourse itself, and specifically by the deictic and referential elements in it' (51). In these two definitions we can trace the reason why text world theory was selected for the current account but at the same time the elements of the theory that need to be elaborated in order to provide a better account of intertextuality and more specifically of topical intertextual frames.

To start with, the elements that drove the selection are the notions of 'conceptual scenarios' and 'defined initially by elements of the discourse itself'. Conceptual scenarios correspond to the activation and creation of topical frames containing representations of larger amounts of knowledge. The elements which give rise to these scenarios belong *initially* to the discourse itself or, in other words, are part of the literary text with which the readers are engaged. The word 'initially' is crucial here because, as in the case of semantic intertextual frames, topical intertextual frames are triggered by specific textual elements. Nevertheless, these elements are incorporated in the frame and become part of a larger set upon the activation of the intertextual link. For instance, in the above example, the lexical item 'Agamemnon' provides access to the knowledge one may have concerning the general but at the same time this knowledge is merged with the previous activations

of Helen of Troy and the war. Thus, a complex set of relations is likely to come to light and a more complex conceptual scenario may surface.

Werth (1999) states that the construction of text worlds relies on the exploitation of readers' background knowledge and it is linguistically triggered by *world-building elements* and *function-advancing propositions*. When it comes to the creation of topical intertextual frames, readers need to activate a particular type of knowledge, namely their topical intertextual knowledge, which is used subsequently in the creation of intertextually-built text worlds. As the figure below shows, authors and readers belong in the discourse world, which is described as 'split' (Werth, 1999: 54-5) due to the fact that the discourse participants do not share the same spatio-temporal location. In split discourse worlds central significance is attributed to the shared linguistic, experiential and cultural knowledge of the participants. It is thus necessary for readers and authors to share intertextual knowledge.

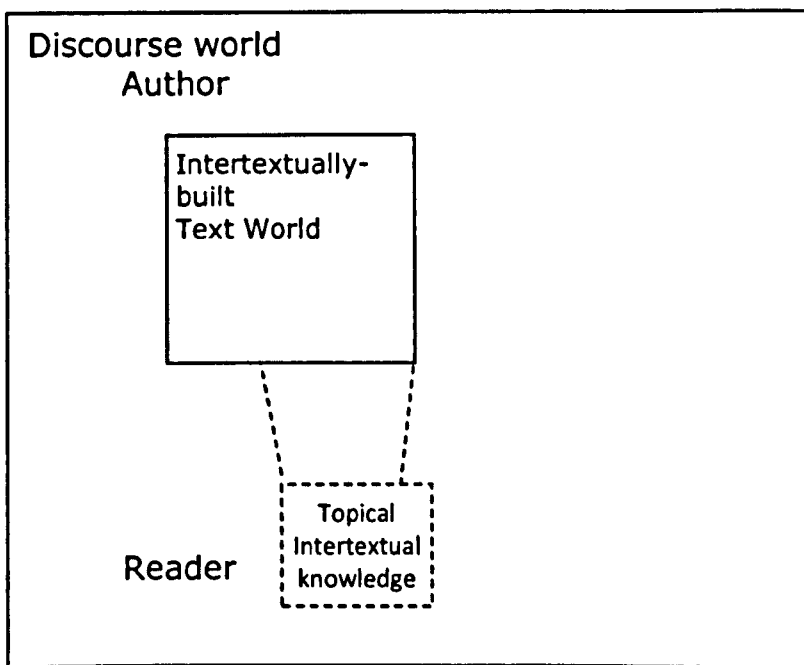


Figure 5.1 Representation of an intertextually-built text world.

Intertextually-built text worlds can be defined as a particular type of text worlds which are incremented as a result of activation of topical intertextual knowledge. Their construction depends, as for any type of text world, on the identification of world building elements and function-advancing propositions. World building elements are characters and objects that furnish the text worlds as well as information concerning orientation in time and space. Characters are the entities of the text world, which trigger cognitive models containing intertextual knowledge. These entities can be either mythological entities or characters from other literary works, and can be linguistically expressed in the form of noun phrases or proper names. Characters are the most important elements in the construction of topical intertextual frames because they offer 'directions' for furnishing intertextually-built text worlds. It is more likely for characters to point to specific literary texts and less likely for objects, time or location to do so, as these open up many more possibilities in terms of textual sources. Consequently, it can be suggested that the entities that 'inhabit' this world are probably its most distinctive feature and they are the primary element around which it will be constructed. It follows from this that the minimal world-building information one can identify is related to the characters present in the text world. In the above example, the lexical items 'Leda' and 'Agamemnon' were the primary characters inhabiting the text world.

The other two world-building elements are related to the setting of the intertextually-built text world, i.e. time and location. Location refers to the place to which the text world points and is identified through noun phrases specifying a place, locative adverbs and adverbial clauses. For example, the primary location of the intertextually-built text world in 'Leda and the Swan' is Troy, rendered by the noun

phrases ‘the broken wall, the burning roof and tower’. Finally, time refers to the temporal dimension of the text world and it becomes accessible via temporal adverbs or clauses found in the text world.

Nevertheless, due to the conceptual nature of topical intertextual frames, it is possible that the latter two elements are not present in the text world. As long as readers are able to identify the entities and activate the topical intertextual frames, then they can furnish the intertextually-built text world by drawing on their encyclopaedic knowledge and the activated cognitive models. This is partly true for Yeats’ poem because there is no explicit reference to Troy; rather, the readers have to use their encyclopaedic knowledge and infer that the aforementioned noun phrases refer to it. At the same time, in this specific text world there are no temporal adverbs or clauses that could be used for furnishing it. Therefore, once again the readers need to draw on their encyclopaedic knowledge in order to determine the point in time that the intertextually-built text world is located.

A major concept in text world theory is that of function-advancing propositions, i.e. ‘the elements that propel the discourse forward in some way’ (Gavins, 2007: 61). Series of events or actions are incorporated in the intertextually-built text worlds as a means of advancing the mental representation, developing relationships between the world-building elements and thus securing the coherence of the text worlds. As Gavins (2007) notes, the development of the world may happen along a descriptive or actional line depending on whether the emphasis is on the description of a particular scene or on propelling the discourse forward. Readers identify plot-advancing or descriptive elements following the identification of world building elements. This process is similar to intertextual chaining as was described in Chapter 4. Nevertheless, in the case of intertextually-built text worlds the

identification of function-advancing propositions plays a vital role in the construction of coherent intertextually-built text worlds that will have a prominent effect on the reading experience. The study in Chapter 7 presents empirical data from the participants' interviews and examines how different readers use contextual information and their intertextual knowledge to furnish intertextual-built text worlds.

b) Determinate and loose frames

Riffaterre (1984b, 1990a) has drawn the distinction between obligatory and aleatory intertextuality. The former demands that readers identify a particular intertext 'to fill out the text's gaps, [and] spell out its implications' (1990a: 57). The latter is described by Hanna Scolnicov as 'the more exciting and daring type of intertextuality' (1995: 218) and allows readers 'to read a text through the prism of all and any familiar texts' (Worton and Still, 1990: 26). Riffaterre claims that readers can sense that there is something missing from the text, and that their sense that the intertext exists compels them to look for it in order to understand and fill in the gaps. He terms this urge 'compulsory reader response' (1990a: 62), designating the effect that the text has on readers by controlling their responses once the intertext is activated. This view of intertextuality is particularly favoured by literary critics, who, as we have already discussed, tend to favour texts as generators of intertextual meanings. As the overall aim of the present work is to place emphasis on how readers construct connections and process them, the notion of compulsory reader response seems out of place. This is because the current approach sees the construction of intertextual links as a collaborative process between a given text and an individual reader rather than the imposition of textual authority. However, one cannot deny the fact that topical intertextual frames are far less idiosyncratic than

semantic ones. The reason for this is that in order to construct the particular frames, a reader needs to trace a multiplicity of lexical items instead of creating an intertextual link based on the identification of a single word. Consequently, the likelihood that there is an overt connection is higher. In the previous example, a reader comes across the lexical items 'Leda', 'Agamemnon', and the indirect descriptions of Troy and Helen.

Interestingly, Allen (2000) prefers the term 'determinate' as an alternative to 'obligatory' intertextuality. Thus, he tones down and readjusts the emphasis placed on the role of the text in the creation of intertextual readings. By selecting the term 'determinate' Allen rejects the forced construction of intertextuality and replaces it with a less charged one stating that determinate intertextuality 'would involve instances where an intertext clearly stands behind a text' (2000: 130). Interestingly, the choice of 'clearly' seems to imply that there is a number of textual elements present in the source text that may direct a reader towards the identification of a particular text as the source of intertextual connections. From the standpoint of the current work, it can be suggested that when readers bring to mind one particular text and construct a topical intertextual frame based on the activation of cognitive models whose origin is the same literary text, then we can talk about determinate topical intertextual frames emerging. I will demonstrate the emergence of such determinate frames by discussing Carol Ann Duffy's poem 'Mrs Faust' (1999, for the complete poem see Appendix 1). In this poem, a reader would need to draw on a specific text, particularly Marlowe's *Doctor Faustus* (1604), to construct an intertextual link with the poem. The link may surface from the very title of the poem by the creation of a semantic intertextual frame. The lexical item 'Faust' provides access to the lexical concept [FAUST] which can in turn afford access to cognitive model LITERARY

ENTITY thus activating knowledge that the individual reader possesses concerning Faust as a literary character. However, the honorific 'Mrs' instead of 'Dr.' precedes the name itself, leading a reader to infer that the persona is female, possibly the wife of Doctor Faust, a character absent from Marlowe's play. Faust appears in the second line of the first stanza and thus strengthens the creation of the semantic intertextual frame.

Mrs Faust

First things first -
I married Faust.
We met as students,
shacked up, split up,
made up, hitched up,
got a mortgage on a house,
flourished academically,
BA. MA. Ph.D. No kids.
Two towelled bathrobes. Hers. His.

Carol Ann Duffy (1999, ll. 1-9)

The semantic intertextual frame, nevertheless, gives rise to a topical intertextual one during the course of the following stanzas. This is attributed to a number of world builders and function-advancing propositions that strengthen the intertextual link between the two texts. As soon as a reader starts tracing these multiple items and incrementing the intertextually-built words, a topical intertextual frame arises. This frame contains the successive text worlds that the particular reader constructs allowing him or her to monitor the development of the story as well as comparing and contrasting it with his/her intertextual knowledge. The initial text world is constructed by Mrs Faust's narration and includes the characters of Mrs and Dr Faust in the first years of their marriage set in an unspecified place and time. Initially, the fact that the couple met as students and had to get a mortgage to buy a

house can be seen as a reference to Doctor Faustus' low birth. Over time they manage to succeed academically and rise socially just like Marlowe's protagonist.

The text world is further incremented when the traits of Duffy's Faust are presented, with his wife stating that he 'would boast', he was 'greedy', 'grew to love kudos' and 'wanted more'. As this information becomes part of the topical frame, the reader who has identified these references will incorporate them in the topical frame and compare them with Marlowe's character. Arrogance and greed were the major characteristics of Doctor Faustus that eventually led to his fall and damnation. Another function-advancing proposition is the lust and promiscuity of Faust. Throughout the first stanza there are many sexually explicit references to his behaviour and mind-style, like visiting whores or going to Soho to 'meet panthers [and] feast'. Interestingly, after signing the pact, Faust said that 'the world spread its legs' offering another glimpse of his lascivious personality and arrogance. In Marlowe's text, Doctor Faustus asks Mephistopheles for a wife to satisfy his lust, but he is presented with a devil masquerading as a woman and offered courtesans instead.

Another text world is created in the second stanza with the description of a particular event. The location is the home of the couple one evening when Mrs Faust returns home and realises that Faust has a meeting in his study. She smells 'cigar smoke, hellish, oddly sexy' and hears her husband and 'the other laugh aloud'. At this point, the knowledgeable reader will be able to read these lines as a reference to Faust's meeting with Mephistopheles in order to sign the pact selling his soul to the Devil. The words 'smoke', 'hellish', and 'not allowed' may allow for the lexical item 'other' to give access to the lexical concept [MEPHISTOPHELES] and then to the

cognitive model LITERARY ENTITY incorporating thus another entity into the intertextually-built text world, and this text world in the topical intertextual frame.

After this point a number of intertextually-built text worlds are created as a result of Mrs Faust's succinct descriptions of her husband's feats including Faust's success, constant journeys round the world and his involvement with the weapon industry. A reader familiar with Marlowe's version may be able to link these with Doctor Faustus' ability to travel round the globe in no time and his intention to go to war to re-conquer lost lands. This will be a result of the insertion of the intertextually-built text worlds in the topical intertextual frame and the comparison of the current version with his or her intertextual knowledge. Another intertextually-built text world may be built in the fourth stanza when Mrs Faust returns home and is informed by her husband that he 'spent the night being pleased by a virtual Helen of Troy'. In terms of text world theory his words give rise to a deictic sub-world of unspecified location and time. Nevertheless, the characters are Faust himself and Helen of Troy. The lexical item 'Helen' can be seen an example of a mythological figure used as a literary entity, as discussed in section 5.1.1, and it may give rise to the MYTHOLOGICAL and LITERARY ENTITY models, thus creating the link with Marlowe's work and the mute character of Helen of Troy, who appeared towards the end of the play. In addition, the almost exact quotation of Marlowe's famous lines 'Was this the face that launch'd a thousand ships' (V, i, 91) binds the two works together.

Faust was in. *A word, he said,
I spent the night being pleased
by a virtual Helen of Troy.
Faced that launched a thousand ships.
I kissed its lips.*

Carol Ann Duffy (1999, ll. 85-89)

This sub-world may be inserted in the topical intertextual frame and the creation of a topical intertextual link between the two texts is completed when Mrs Faust describes her husband's death by being dragged to hell similarly to Marlowe's Doctor Faustus. At this point, it is interesting to observe how the activation of intertextual knowledge and the construction of intertextually-built text worlds can enrich the reading of Duffy's poem. As noted previously, the story is narrated by Mrs Faust, who does not seem to oppose her husband's choices stating that she was 'as bad'. Later on, it becomes clear that not only does not she oppose but also she acts in a similar way paralleling the intertextual connection with Doctor Faustus and reinforcing her assimilation with her husband. Mrs Faustus travels across the globe, i.e. she goes to 'China, Thailand, Africa', sees 'Rome in a day', and she also seems to share her husband's financial success, as she metaphorically spins 'gold from clay'. The activation of intertextually-built worlds may help readers to move from the metaphorical reading to the world of Marlowe's play where these are presented as actual events: Doctor Faustus does acquire magical abilities and travels around the world. Interestingly, the reference to her visit to Rome can be intertextually linked with Doctor Faustus' disruption of the Pope's banquet which culminates in Faustus boxing his ears. At the same time, Mrs Faust has previously paralleled her husband's power to the Pope's, thus creating, a multi-layered reading with the couple jointly replicating Doctor's Faustus' deeds and reliving his life. Finally, the assimilation continues when she eventually returns home feeling alone and isolated, similarly to her husband and Doctor Faustus, who were abandoned by everyone when their fall was at hand. Nevertheless, though Dr Faust is dragged to hell, she goes on with her life displaying the same cynicism as before. In sum, the creation of the determinate topical intertextual frame promotes a subversion transferring the readers from the

text world of Mrs Faustus, where her words assume a metaphorical meaning, to the world of the play, where they are presented as facts.

Determinate frames are, thus, created when readers build the intertextual link by identifying a specific accessed text, such as Marlowe's *Doctor Faustus*. Nevertheless, it is also likely that the intertextually-built texts worlds are built by drawing on the reader's broader cultural knowledge. As discussed in Chapter 3 (3.5.2.3), in the current approach this refers to myths, legends and folktales, or else to what Riffaterre (1990a: 62) has called the mythological intertext. More specifically, readers do not draw on a particular literary text, but rather construct the topical intertextual frame based on their cultural knowledge or an amalgam of texts. Such an example was the construction of the intertextually-built text world triggered by Yeats' 'Leda and the Swan'. The reader would have to draw on a number of interwoven mythological stories, i.e. Leda's rape, Helen's abduction, the Trojan war and the fall of Troy, and finally Agamemnon's murder by his wife. Each of the above is a separate story but they can all be combined together into a greater scheme thus forming an intricate web. This intricate web will be readily recognisable by readers who are in possession of a cultural store of myths, tales and symbols. This mental 'anthology' of mythological knowledge is characterised by lack of authorial attribution and ability to combine its sub-parts in order to form a broad matrix on which readers may draw in order to enrich their interpretations. An amalgam of texts may be evoked by individuals when reading various works of Eliot, such as 'The Love Song of J. Alfred Prufrock', of James Joyce or Borges amongst others. The possible activation of related pieces of knowledge is a main characteristic of loose topical intertextual frames along with the fact that their source is broader cultural

knowledge. The way different readers draw on their cultural knowledge to construct topical intertextual frames will be discussed in detail in Chapter 7.

5.5 Further suggestions

The approach to text world theory presented in this chapter concentrated on how a particular type of background knowledge can be employed by readers in order to build text worlds and construct intertextual links. Greater emphasis is placed on the readers' viewpoint and more specifically on how intertextual connections may reflect the *reality* of the readers. I use the notion of readers' reality in the same way as Fauconnier (1994) in order to encompass all readers' knowledge that is not restricted to the immediate (textual) environment. In his approach, Werth argues that this feature renders Fauconnier's system 'something of a blunt instrument, undefined, [and] unrestricted' (1999: 181). However, in the present approach this aspect is seen as an advantage that allows us to look more closely into how a particular type of knowledge may affect the construction of text worlds. By looking at how intertextually-built text worlds are created, we have the opportunity of rendering text world theory more sensitive towards more conceptual and readerly-oriented aspects of the reading experience, such as the creation of intertextual links. Moreover, it can be seen as a means of strengthening the links with conceptual integration theory and catering for Werth's reservation concerning the efficiency of Fauconnier's proposal. Nevertheless, text-drivenness remains a crucial parameter in the discussion, as the construction of both links and text worlds is tied to the identification of textual elements.

Another interesting point that emerges from the current application of text world theory is related to element of *evolution* attached to topical intertextual frames. The notion of evolution refers to whether the events incorporated in the topical

intertextual frame take place through a period of time, thus termed *dynamic*, or they describe a specific event, thus termed *static*. For instance, the topical intertextual frame created when reading 'Mrs Faust' is seen as dynamic, since the readers can trace intertextually-built text worlds that are linked to various parts of Marlowe's tragedy. Therefore, the emerging frame runs through the entirety of the plot of the play, from Faustus' early academic achievements to his death. In practical terms, it is very difficult for a text world diagram to capture successfully the constant shifts in time and place. Despite the continuous negotiation of the boundaries of the world that takes place as readers continue reading the text, the intertextual frame remains unified incorporating these expansions.

On the other hand, static topical frames built on the identification of more local events are described. Instead of having a multiplicity of different spatio-temporal situations, readers construct the link based on one event and its short-term progression. An example of this can be found in another poem of Carol Ann Duffy, 'Medusa' (1999) from the same collection quoted above.

Medusa

A suspicion, a doubt, a jealousy
grew in my mind,
which turned the hairs on my head to filthy snakes
as though my thoughts
hissed and spat on my scalp.

My bride's breath soured, stank
in the grey bags of my lungs.
I'm foul mouthed now, foul tongued,
yellow fanged.
There are bullet tears in my eyes.
Are you terrified?

Be terrified.
It's you I love,
perfect man, Greek God, my own;
but I know you'll go, betray me, stray
from home.

So better by far for me if you were stone.

I glanced at a buzzing bee,
a dull grey pebbly fell
to the ground.

I glanced at a singing bird,
a handful of dusty gravel
spattered down.

I looked at a ginger cat,
a housebrick
shattered a bowl of milk.
I looked at a snuffling pig,
a boulder rolled
in a heap of shit.

I stared in the mirror.
Love gone bad
showed me a Gorgon.
I stared at a dragon.
Fire spewed
from the mouth of a mountain.

And here you come
with a shield for a heart
and a sword for a tongue
and your girls, your girls.
Wasn't I beautiful
Wasn't I fragrant and young?

Look at me now.

Carol Ann Duffy (1999)

In this poem, a semantic intertextual frame emerges from the title of the poem. The lexical item 'Medusa' gives rise to the cognitive model MYTHOLOGICAL ENTITY, as it brings forward encyclopaedic knowledge concerning the chthonic monster of Greek mythology. The intertextually-built text world is created with minimal world building elements, namely the character of the Medusa placed in an unspecified place and time. Moreover, a number of function-advancing propositions start furnishing the text world and give rise to a topical intertextual frame which allows readers to monitor the development of the text world in relation to their

background knowledge. More specifically, in the first stanza readers witness the transformation of the female persona into the monster: her hair ‘turned ... to filthy snakes/ as though my thoughts/ hissed and spat on my scalp’. The transformation is completed in the second stanza, ‘My bride’s breath soured, stank .../ I’m ... yellow fanged’, while at the same time she acquires the ability to turn objects into stone with her glare: ‘There are bullet tears in my eyes’. In the third stanza, the persona addresses her lover and calls him her ‘Greek god’ creating association with Medusa’s affair with Poseidon. The poem is heavily descriptive and places emphasis on the transformation rather than plot-advancing material. In the last stanza of poem the lover assumes the qualities of a warrior, approaching her with ‘a shield for a heart’ and ‘a sword for a tongue’. Therefore, this character is inserted in the intertextually-built text world. This frame, however, appears to be more constrained and does not encompass such a diverse account of events as ‘Mrs Faust’. Rather, the intertextually-built text world presents a particular aspect of the story, the transformation of the woman into the monster, as the poem does not give an account of later events that would allude to the Medusa’s death. For this reason, the frame is characterised as static. The distinction between dynamic and static topical intertextual frames depends on the way literary texts employ intertextuality and the distinction between them does not imply a difference in the way they are processed. It shows, though, a difference in the focus of each story. This idea can be fed back to text world theory and it can be used to describe complex text worlds and sub-worlds rich in shifts as opposed to minimal ones and possibly shed light on how readers relate to each.

5.6 Topical intertextual frames and texture

The quality of the topical intertextual frames and subsequently the effect that they bear on the reading of a literary text is assessed in terms of the notion of texture, as defined in Chapter 3 (3.5.6.2). Texture is again seen as a continuum, its extremes being fine and faint texture. Fine texture expresses the construction of strong intertextual connections and is characterised by the criteria of prolonged resonance, high granularity, strong textuality and distinct specificity. However, there are differences in the elements these criteria assess due to the nature of topical intertextual frames. In contrast to semantic frames, they have a more global focus on the text and they are more closely related to its content. For this reason, prolonged resonance is probably easier to achieve, since readers establish the connections based on multiple lexical items. For example, in 'Medusa' the topical intertextual frame accompanies the readers throughout the poem allowing to them compare and contrast pre-existing knowledge with the current context and also to enrich it with further additions. On the other hand, high granularity is hard to surface in the manner described in semantic frames; the emphasis on the content does not facilitate the activation of specific phrases from a text. Nevertheless, in this case it is related to the ability of readers to bring to mind events and characters from the activated text and trace them in source text. For example, in 'Mrs Faust' a reader may be reminded of Doctor Faustus' journey to Rome and his encounter with the Pope and thus trace it in Duffy's poem. At the same time, high granularity refers to readers' ability to bring to mind characters or events that are absent from the source text and incorporate them in the topical frame. For instance, a reader may be reminded of Faustus' servant, Wagner, the Deadly Sins, or Alexander the Great, and other characters from Marlowe's play that are not mentioned in the poem. This way he or she will be able

to compare and contrast the two texts more efficiently and consider the reasons behind any differences. An example is the absence of Alexander the Great and the Deadly Sins from Duffy's poem that can be related to a more realistic, cold-blooded approach to contemporary life favoured by the modern version of Faust's story.

Concerning the text-driven criteria, it can be suggested that fine intertextual texture of topical frames depends highly, if not solely, on the readers' ability to identify the entities and the function-advancing propositions in the text that would give rise to the intertextually-built text world. While readers build the semantic frames based on the identification of a single lexical item, which may belong to any word class, topical intertextual frames emerge when multiple lexical items referring to characters, locations, periods in time and function-advancing propositions are identified. In 'Mrs Faust', readers capable of tracing all the characters and function-advancing propositions alluding to Marlowe's text and of incorporating them in text worlds will access a detailed topical frame. At the same time, they will also be able to enjoy the poem and the world of Mrs Faust as this is presented by the contemporary poetic persona. Finally, distinct specificity refers to the possibility of identifying a particular work as the one activated and inserted in the topical frame. This criterion is crucial for the successful construction of intertextual links. Readers need to be familiar with Marlowe's text in order to establish the link and construct the frame. The frame may be either determinate or loose depending on whether readers rely on a particular literary text or their knowledge of myths and tales to construct the link.

Faint intertextual texture in relation to topical intertextual frames assumes that readers do not maintain the intertextual connection between the two works and the topical frame fades away without affecting the reading of the source text. In the

case of topical frames, momentary resonance can be associated with a reader's inability to sustain the topical frame and the constructed intertextual link. Low granularity is related to readers' inability to insert elements absent from the source in the topical frame. For example, readers not familiar with the Greek myth of the Medusa will interpret neither the transformation of the woman into a monster nor the reference to Poseidon and the men who attempted to kill her. Weak textuality also refers to the readers' inability to trace world builders in the source text that would serve as the basis for the construction of intertextual connections, such as Mephistopheles or Faust. This may mean that the readers cannot trace all the entities or the lexical items that can be potentially used to furnish the intertextually-built text world. Finally, supposing that they cannot point to any source text as the basis of the link, then we can talk about indistinct specificity and thus no construction of topical intertextual frames. The creation of fine and faint topical intertextual frames will be discussed using empirical data in Chapter 7.

5.7 Review

The purpose of this chapter was to look at texts at a macro-level and explore how intertextual connections can be established. The essential constituent for the construction of topical intertextual frames is literary or mythological entities identified in the source text. They will give rise to intertextually-built text worlds and direct their completion through the introduction of other world builder and function-advancing propositions. So far, we have considered instances where the name of the character in the source text was directly related to the one of the source text without any modification. However, Müller remarks that 'names ... extricated from one fictional context and inserted into another one are often changed' (1991: 104). If readers recognise these changes, they should be able to create intertextual link and

construct the topical intertextual frame. Some of the possible changes documented by Müller include the adaptation of a foreign name into a new context, for instance Agamemnon being changed into Ezra Mannon in O'Neill's *Mourning Becomes Electra* (1931), and substitution, which 'may range from the phoneme ... to the whole body of the name except for one phoneme' (Müller, 1991: 105). Another instance of similar example can be found in Eco's *The Name of the Rose* (1983). The main character's name is William of Baskerville alluding to Conan Doyle's *The Hound of the Baskervilles* (1902) and Sherlock Holmes. In the same work the elderly, blind monk and mastermind of the murders is named Jorge de Burgos, a pun on Jorge Luis Borges. Though Borges is not a literary character, this pun demonstrates the creativity sometimes displayed by authors.

The identification of characters in the source text is the main prerequisite for the emergence of topical frames. However, the difference with semantic frames lies in the identification of function-advancing propositions, which mark the transition from a semantic frame to a topical one and link the source text to the content of the activated one. In 'Mrs Faust', the multiple similarities in terms of the content of the two works trigger the rise of the topical frame and also maximise the effects of the intertextually-built text world in the reading experience. Once readers construct an intertextually-built text world, it is likely that they will attempt to locate and insert as many propositions as possible and complete its composition giving rise to the topical intertextual frame. In the next chapter, I will focus on a very different type of intertextual frame, the stylistic intertextual frame, and discuss their creation and the effects they bear on the reading experience.

6 Stylistic intertextual frames

6.1 Introduction

In the previous chapter, I argued that readers can construct a very detailed topical intertextual frame by drawing on their background knowledge and I illustrated the process using Carol Ann Duffy's poem 'Mrs Faust'. In the final stanzas, Faust's last words are rendered in direct speech:

Faust was in. *A word*, he said,
I spent the night being pleased
by a virtual Helen of Troy.
Faced that launched a thousand ships.
I kissed its lips.
Thing is
I've made a pact
with Mephistopheles,
the Devil's boy.

Carol Ann Duffy (1999, ll. 81-9)

It is the first and last time Faust's voice is heard unmediated in Duffy's poem. The direct speech is graphologically marked by the italicised text, which at the same time highlights another aspect of these lines, namely that they are an almost identical reproduction of Marlowe's lines: 'Was this the face that launch'd a thousand ships, ... Sweet Helen, make me immortal with a kiss.' (V, i, 91-93). This almost verbatim repetition of Marlowe's text bears quite different effects on the reading experience from the identification of a single lexical item or the construction of an intertextually-built text world. This is due to the fact that readers are directed to particular phrases of the activated text, which may frame their interpretation of immediate co-text. In this chapter, I will focus on the last type of frame, the stylistic intertextual frame, which is activated upon the identification of sequences of words echoing previous literary texts or the identification of broader genre similarities. The

first part of the discussion will focus on the notion of quotation, while the second on formal and structural characteristics of literary texts as described using the notion of genre. Quotations will be discussed in relation to the various forms they may have and a possible connection with formulaic language processing will be investigated. Moreover, the generic characteristics of a text that may give rise to the construction of intertextual links will be identified along with the implications this has for the reading experience.

6.2 Stylistic intertextual knowledge: the case of quotations

In Chapter 3, I briefly discussed the subtypes of intertextual knowledge: thematic and stylistic. Stylistic intertextual knowledge refers to the identification of what has been traditionally labelled 'quotation' and the formal and structural characteristics of literary texts. The term 'stylistic intertextual knowledge' was selected as an umbrella term in order to highlight the emphasis placed on more explicitly marked cases of intertextual connections. This section will focus on quotation, which Plett (1991) has defined it as the intertextual repetition of a pretext in a subsequent text. In the introductory chapter, it was stated that some scholars see quotation as independent from intertextuality, whereas others consider it a facet of intertextuality. In the current approach, the presence of quotation is regarded as a possible source of intertextual connections and the focus will be on the possible ways readers deal with the identification of such instances.

The first step is identifying the various types of quotation which in turn will allow us to discuss how readers process them. Interestingly, the notion has attracted the attention of a number of theorists from various fields from pragmatics (e.g. Clark and Gerrig, 1990; Recanati, 2001), semantics (García-Carpintero, 1994), and philosophy (Quine, 1940; Tarski, 1956) to literary theory (e.g. Morawski, 1970;

Plett, 1988, 1991) and anthropology (Finnegan, 2011), and its formal characteristics have been investigated and discussed in accordance with the principles of the aforementioned fields. Morawski (1970) has identified three functions realised in non-literary texts, namely authoritative, erudite and ornamental quotation, while Plett (1988) adds a new function to this typology, the poetic quotation. Authoritative quotation refers to the cases where communicative situations related to social institutions oblige one to quote assuming a ritualised character. Individuals endorse their reasoning by quotation from authoritative books, such as legal or religious texts. Erudite quotation is related to quotations occurring within scientific texts for relying on an incontestable authority. Unlike authoritative quotation it may question the validity of the authority as well opening a discussion of pros and cons. The third category that Morawski identifies is ornamental quotation. It serves as an aesthetic stimulus rather than adding to the authority of the text and it can be found in a variety of texts: ceremonial addresses, obituaries, essays, letters etc. According to Plett, this type is more closely related to poetic quotation. Interestingly, Plett goes on to remark that poetic quotation 'is characterised by lack of an immediate *practical* purpose' (1991: 14, my italics) and to add that such a purpose can be achieved if a fragment of a literary text is inserted in a non-poetic one. The author who employs literary quotations intends to bring his audience in touch with 'mirrors of reality, i.e. literature' (Plett, 1991: 15). I believe that this approach to literary quotation does not do justice to the ways it may influence the reading experience, the construction of intertextual links and eventually the readers' interpretation of a given literary text. As we will see below (6.2.1), quotation assumes a number of different forms, e.g. preceding the actual text with a clear indication of its source or completely embedded in it with no markers pointing to the pre-text. Therefore, it can be suggested that

readers react differently to each case of quotation depending on the explicitness of the markers accompanying it.

Despite this shortfall, Plett's treatment of the term (1988, 1991) is systematic and thorough. For this reason, my discussion of the formal characteristics of quotation will draw heavily on his work, which is based on a distinction of what he terms grammatical and pragmatic aspects of quotations. The grammar of quotations refers to 'the intertextual rules of its constitution', while the pragmatics 'considers the factors involved in the process of quotational communication' (1988: 314). I will also structure my analysis in a similar way: firstly, I will identify the formal characteristics of quotation and secondly, I will discuss how readers may create stylistic intertextual frames based on the identification of quotations in a literary text.

6.2.1 The features of quotation

In general, quotations have attracted a lot of attention because they possess a number of features that distinguish them from other textual elements. These features affect the readers' response and perception not only of the quotations but also of the text as well. I will discuss quotations with regard to their distinctness, their position in the text and the degree of discrepancy from the original. The most crucial feature is distinctness, referring to the presence or absence of markers pointing to the source of the quotation. Ben-Porat (1976) states that 'the marker is always identifiable as an element or pattern belonging to another independent text' (108). Plett (1991: 12) also provides a scale of distinctness of quotation from explicit to non-existent, and Hohl Trillini and Quassdorf (2010) provide a similar typology in their discussion of Shakespearean quotations distinguishing between textually explicit, typographical, textually implicit and unmarked quotations. Moreover, the factor of distinctness can

also be found in the very formal linguistic approaches, such as Davidson's (1979) and Recanati's (2001) among others.

Some scholars seem to assume that quotations definitionally admit their origin. According to Orr, quotation 'openly states and acknowledges its status as borrower and borrowing' (2003: 131), whereas Plett (1988) comments on its segmental character and the fact that it is a derivative textual segment, which can never be self-sufficient and thus stand on its own. However, there are cases, like the extract quoted in the introduction of this chapter, when the source of the quotation is not openly stated, and thus readers need to rely on their intertextual knowledge in order to recognise the quotation, in this particular case the almost verbatim rendering of Marlowe's lines. Hence, in the current approach, I distinguish between *embedded* and *unintegrated* quotations, which I see as a major distinction in the way they are used in the texts and are identified by readers. Unintegrated quotations clearly signal their nature as borrowed segments from other texts. On the other hand, embedded quotations offer no explicit indication of originating from another text. Unintegrated quotations can be further distinguished into direct and indirect according to the number and kind of quotation markers. Figure 6.1 presents the different types of quotations.

With regard to the presence of markers, direct quotations 'acknowledge' their source by mentioning the name of the author and/or the text from which they are taken, and they may be placed within inverted commas. A performative verb or a standardised formula can also be used; for instance 'I quote' (see Plett, 1991; Davidson, 1979; Cappelen and Lepore, 1997). Conversely, indirect quotations do not mention their source but appear within inverted commas, colons or in italics.

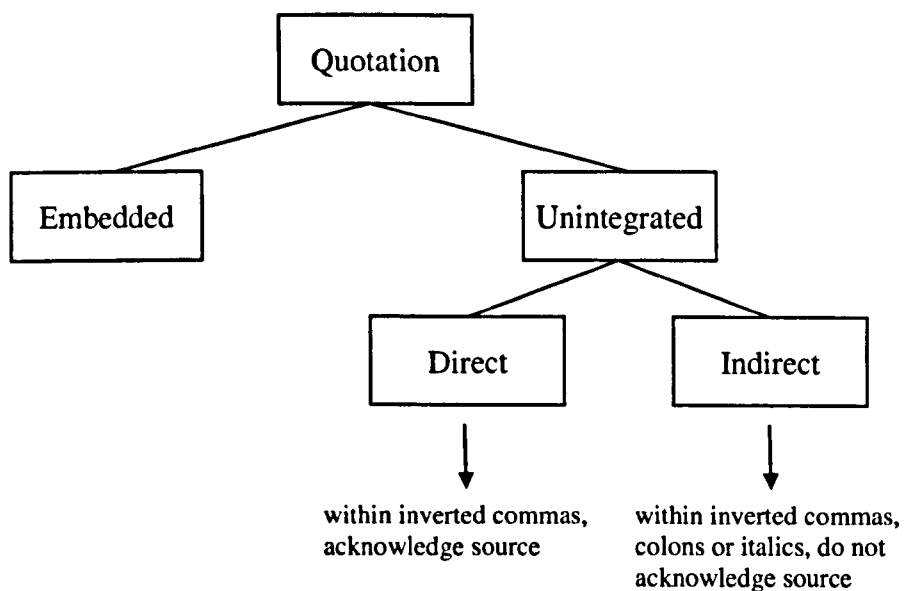


Figure 6.1 Different types of quotation

Another important issue is the position of the quotation in the text. Plett states that they can be placed in the beginning, middle or the end of a text equating the initial position with the motto, the title or the first sentence, and the final one with the aphorism. Quotations found in any part of a text's body allow for 'a broad range of ... variants' (Plett, 1991: 11). These are more likely to have undergone transformations in the form of the addition of new elements, subtraction or substitution of existing ones, permutation and finally repetition at phonological, morphological, syntactic and textual level (Plett, 1991: 9). In addition, a link can be drawn between the position and degree of integration of a quotation. Mottos are unintegrated quotations as they are graphologically placed apart from the rest of the text and their source and author are usually acknowledged. The embedded and indirect quotations found in the middle of a text are more prone to transformations and changes. An example used by Plett (1991: 10) to illustrate the possible transformations is from Pound's *Hugh Selwyn Mauberley*:

Died some, pro patria, Non "dulce" non et "decor"...

Ezra Pound (1920, IV, 1. 3)

As Plett points out, these lines split and rearrange Horace's famous line 'Dulce et decorum est pro patria mori', which has been widely used as an inscription and also provided the title for Wilfred Owen's famous poem 'Dulce et Decorum est' (1917). According to his analysis, the changes made are among others: the Latin verb phrase has been substituted by the English verb 'died', the suffix *-um* in 'decorum' has been subtracted and the negation 'non' has been added and repeated. A final observation concerning the nature of quotations is described by the notion of *transcoding* (Eco, 1979). Many writers incorporate in their works quotations that differ with regards to 'language, dialect, sociolect, register, spelling, prosody etc' (Plett, 1991: 11) from the literary text itself. Nevertheless, when they choose to assimilate them into their new context, we can talk about transcoding. Interestingly, Quassdorf (2009) has proposed a similar typology of the variations of quoted phrases in the *HyperHamlet* corpus. She discusses in detail three lines taken from *Hamlet* in relation to quotations encountered in the corpus, for example:

- a. It is a custom/ more honour'd in the breach than the observance (I, iv, l. 17)
- b. For 'tis sport to have the engineer/ Hoist with his own petard. (III, iv, ll. 206-7)

and observes that there is a range of variations. More specifically, there can be lexical substitutions (e.g. *custom* is replaced by *law*, *rule* etc.), modernisations (e.g. *hoist* becomes *hoisted*, shortenings (e.g. example b to a verb phrase), change of meaning and loosened fixedness (e.g. *hoist by/on/ with one's own petard*). Hohl Trillini and Quassdorf (2010) stress that semantic and syntactic criteria should be considered in the analysis of quotations and analyse quotations with regard to rhetorical terms: addition, omission, substitution and permutation.

Finally, there is also the possibility that embedded quotations are used within a text without any modifications at all. In a number of cases, though, these verbatim renderings are related to a phenomenon which Plett has termed *stagnation* (1991: 16). Plett mentions that certain well-known texts may develop into storehouses of quotations and the sight of the original text is lost with the quotations becoming 'autonomous language units' (1991: 16). Similarly, Hohl Trillini and Quassdorf (2010) talk about the *lexicalisation* of elements like *primrose path* and *speak daggers* (n.p.). The majority of language users are not aware of their origin, especially when there is a complete absence or isolated occurrences of quotation marking. They also include in this category quoted phrases that have acquired an idiomatic or proverbial nature.

I believe that this brief account of the features of quotation illustrates the fact that they differ greatly from the other types of intertextual elements discussed in the previous chapters. A number of rigorous typologies have been proposed setting useful stepping stones for discussing how readers approach quotations. Moreover, it has become clear from the above that there is a cline of explicitness concerning the markers found in the text ranging from explicit naming of the source and the author to total absence of references. This along with the possible transformations that quotations undergo plays a crucial role in the way they are processed by the readers. In the following section, I will turn my attention to how quotations are processed, i.e. what Plett (1991) has called the *pragmatics of quotations*, in terms of stylistic intertextual frames.

6.2.2 Defining stylistic intertextual frames

Stylistic intertextual frames differ considerably from both types of thematic frames as far as their underlining principles are concerned. Instead of activating and linking

together a number of cognitive models triggered by lexical concepts, the creation of intertextual links lies in the recognition of phrases or the shift of attention due to the presence of an explicit marker. Lexical concepts and cognitive models, the basic theoretical concepts upon which thematic frames were discussed, cannot account for this emphasis on more extensive lexical sequences. LCCM Theory aims at describing the properties of individual lexical items or sets of lexical items and the ways they provide access to different types of knowledge depending on the context. On the other hand, this does not seem to be the same with quotations. Quotations are more 'transparent' triggers of intertextual knowledge due to two related factors. Firstly, they are comprised of a longer set of words that does not designate a lexical concept, as was the case with the lexical items in LCCM Theory. The second factor is related to the explicitness of the quotations. As we have seen above, they can be unintegrated bearing implicit or explicit markers that signal their nature as quoted text. Nevertheless, it should be stressed that in the case of lexicalization LCCM theory can be used in order to account for the creation of intertextual links.

My account of stylistic intertextual frames in relation to quotations will revolve around two major considerations: whether readers recognise embedded or unintegrated quotations and whether there are any changes made in the context of use. In the first case the absence of markers can hinder their identification, as readers may not notice the quoted element as readily as when it is italicised or placed within quotation marks. With regard to the second consideration, the discussion will draw on the notion of formulaic language in order to investigate any possible connection between the ways formulaic sequences and quotations are processed.

6.2.3 Quotations and formulaic language

Formulaic language (e.g. Wray 2002, 2008) is a neutral term used to describe the long-recognised and discussed phenomenon of fixedness in language. There is a plethora of terms in the literature delineating aspects of formulaicity and Wray provides an extensive list which includes amongst others: clichés, collocation, fixed expressions, formulaic speech, frozen metaphors, gestalt, holophrases, lexicalised phrases, petrifications, ready-made expressions, set phrases, stereotyped phrases, unanalysed multiword chunks and units. As Wray notes, there is ‘a certain measure of conceptual duplication, where several words are used to describe the same thing’ (2002: 8). Generally, the relationship between quotation and formulaic language has not been explored in depth. Nevertheless, Wray (2010) states that quotation fulfills the criterion of an earlier definition by Wray:

[A formulaic sequence is] a sequence, continuous or discontinuous, of words or other elements, which is, or appears to be, prefabricated: that is stored and retrieved whole from the memory at the time of use, rather than being subject to generation or analysis by the language grammar.
(Wray, 2002: 9)

She also stresses that it performs “the same social and semantic functions as the more ‘standard’ types’ of formulaic language” (2010: 523). In other words, quotations can be seen as prefabricated material, which individuals retrieve holistically for specific purposes. This is particularly true for quotations that have become stagnated (Plett, 1991) or lexicalized (Hohl Trillini and Quassdorf, 2010). Interestingly, the latter term is related to Pawley and Syder’s notion of ‘institutionalisation’ and ‘lexicalisation’ (1983: 191), that describes units of language whose ‘grammatical form and lexical content is wholly or largely fixed; its fixed elements form a standard label for a culturally recognised concept’ (1983: 191). Instances of lexicalisation from Shakespeare have already been presented previously

(6.2.1). Expressions like ‘the green-eyed monster’, or ‘to be or not to be’, should be seen as instances of formulaic language, as they also fulfill the basic criteria proposed by Moon (1998) for distinguishing multi-word items. More specifically, they are institutionalized and their component words also exert a certain degree of fixedness. Moon notes that fixedness is a complex phenomenon; apart from the question of being a frozen sequence of words, there are also considerations of whether inflections can be attached, and whether the component lexis or word order may vary. We have already seen that quotations can be altered in a number of ways, e.g. substitution or subtractions, so it can be suggested that this flexibility is not incompatible with their formulaic nature. I wish to return to the criterion while discussing the notion of creativity (6.2.5).

The last criterion is termed non-compositionality and has to do with ‘the degree to which a multi-word item cannot be interpreted on a word-by-word basis, but has a specialized unitary meaning’ (Moon, 1998: 44). When it comes to multi-word items, non-compositionality is seen broadly speaking as a semantic criterion. However, Moon is cautious with this notion, as it is problematic due to its synchronic and idiolectal nature. It can be said that quotations do not comply with non-compositionality in a straightforward manner; the meaning of ‘to be or not to be’ can be easily understood by looking at the individual meaning of its constituents. Nevertheless, I believe that these phrases are endowed with a special meaning, very closely related to Moon’s *pragmatic non-compositionality* (1998: 8). In this case, the string can be understood compositionally, but a special discourse function is attached to it, such as in the case of proverbs, saying or similes. Despite the fact that research in this field is scarce, there is some evidence for cultural richness as a semantic association from Grandage’s research (2010) on the use of Shakespearean allusions

in newspaper articles and the readers' responses to various instances of Shakespearean intertextual references, such as the expression 'band of brothers'.

Interestingly, Moon has also stated that non-compositionality 'should be interpreted as indicating that the component lexical items *may* have special meanings ... not that [they] can never be rationalized and analogised' (1998: 8, my italics). Therefore, despite being compositional, my claim is that readers process quotations in a very similar way to other more standard types of formulaic language.

6.2.4 Formulaic language and the different types of quotation

Wray's treatment of quotation appears to encompass all types without making a distinction between unintegrated and embedded ones. However, I believe that the presence or absence of markers plays a very important role in the way readers process quotations, along with whether the quoted elements have become lexicalised or stagnated. More specifically, the more embedded they are in the text, the more likely it is that they are processed as instances of formulaic language. This is related to the connection between formulaic language and the notion of shared knowledge. Expressions that are familiar to members of a discourse community are more likely to penetrate the text as formulaic instances with authors presupposing knowledge from their readership.

a. Unintegrated direct quotations

As we have seen above unintegrated quotations are distinguished between direct and indirect ones. As direct quotations bear explicit markers of their nature, they immediately direct the readers towards the quoted text, whose author and title are also present. This open acknowledgment of the source text affects the way readers react to quotations. Firstly, it can be suggested that minimal processing effort is

required on the readers' part in establishing the intertextual link, as it is directly stated on the page. Secondly, the quoted text acquires an almost autonomous quality bearing meaning understood outside the context of the literary text. For this reason, readers are more likely to treat it as another instance of an independent, albeit short, text. Another important consideration has to do with the position of the quotations in the text. Concerning the position unintegrated direct quotations usually take the form of excerpts from other works placed in the space between the title and the literary text. As Plett (1991) notes, this is illustrated in the work of T.S. Eliot, with the most prominent example being that of *The Waste Land* (1922). Quotation was mainly reinvented by the modernist poets, including Pound, Moore, Williams, and Zukofsky, and 'allusion was the preferred and time-honored mode of intertextual reference' (Gregory, 1996: 2). Modernists drew on the tradition of romanticism and their invention of 'the notion of originality as we know it' (Gregory, 1996: 12).

I believe that this type of quotation gives rise to looser stylistic frames because of its 'physical distance' from the main body of the literary text itself. In addition, a significant consideration is related to what I call their 'imposing nature'. In other words, the construction of an intertextual link not only stems from the encyclopaedic knowledge of readers but it is also a direction given overtly by the text. If readers are not familiar with quoted text, it is more likely that the stylistic intertextual frame will be short-lived and with no major effects on the reading experience. This may be particularly true when the quoted passages are in a language other than the literary text itself. For example, instances of unintegrated direct quotation can be found at the beginning of each chapter of Eco's *Foucault's Pendulum* (1988), such as the Latin quote in chapter 105 'Claudicat ingenium, delirat lingua, labat mens' accompanied with its source: Lucretius, *De rerum natura*, III,

453 . However, their cryptic nature does not permit the reader to form a stylistic frame, although it has a significant effect on the atmosphere of the novel enhancing the sense of the mysterious. Concerning their degree of formulaicity, I believe that they should be regarded as the quotations with the least formulaic characteristics because of their ability to encode autonomous meaning.

b. Unintegrated indirect quotations

Unintegrated indirect quotations are often used in literary texts. The presence of markers, such as quotation marks or italicisation, guides the readers towards the identification of other 'voices', in semiotic terms. An example of italicization can be found in the introduction of this chapter, where lines from Duffy's poem *Mrs Faustus* are quoted. The direct speech of Faust encodes an almost verbatim quotation from Marlowe's text drawing the attention of readers due to its graphological markedness. Another case of marked quotation was offered in the discussion of Pound's excerpt above. The use of quotation marks can also be found in earlier poems, such as Keats' 'To Hope' (1817). In line 3 we can observe the following quotation: 'When no fair dreams before my "mind's eye" flit, /And the bare heath of life presents no bloom'. The phrase 'mind's eye' is a well-known phrase from *Hamlet*, where it is uttered on two occasions by Horatio and Hamlet respectively. Indirect quotations do not impose the construction of intertextual links as strongly as direct ones, since there is no specification of their origin, so the readers have to rely on their encyclopaedic knowledge once more to create the stylistic frame. The graphological markers do offer a direction, but ultimately it is the readers' knowledge that regulates the construction.

c. Embedded quotations

The case of embedded quotations is not as straightforward to account for especially when it comes to the way they are recognised and processed by readers. The absence of markers signaling the existence of quoted passages renders their identification more difficult. Examples of embedded quotations were presented in Chapter 3 during the initial discussion of texture in relation to ‘The Love Song of J. Alfred Prufrock’. For instance, in the line ‘And time for all the works and the days of words’ (29), the readers may notice a reference to the title of Hesiod’s poem *Works and Days*. The lack of any marker highlights the fact that its identification rests solely on readers and their intertextual knowledge. Another related remark is that the existence of some sort of shared knowledge between the author and readers that allows for the unmediated recognition of the quoted element is also assumed. For this reason, embedded quotations should be regarded as having the strongest ties with formulaic language processing. This claim brings to the foreground the key notion in formulaic language research, namely *speech communities*, whose members possess the necessary knowledge to decode certain expressions the access to which is not available to others due to lack of that knowledge (Peters, 1983). These ties are further strengthened when embedded quotations happen to be instances of lexicalisation ensuring Wray’s proposal stated earlier in her definition, namely that the sequence will be processed as a whole, which is a defining characteristic of formulaic language. Evidence for this claim has been provided by a number of studies such as Wray (1999) and Siyanova-Chanturia, Conklin and Schmitt (2011). This brings us back to LCCM theory and to how lexical concepts are processed. More particularly, it can be suggested that a lexicalised quotation may provide access to a lexical concept and subsequently to a cognitive model containing the reader’s

knowledge concerning this particular phrase. Another related characteristic of embedded lexicalised quotations is that they are prefabricated, so they are not subject to analysis by the language grammar. In other words, if a reader comes across the following line from D.H. Lawrence's poem 'Manifesto':

To be, or not to be, is still the question.
This ache for being is the ultimate hunger.
And for myself, I can say "almost, almost, oh, very nearly."

D.H. Lawrence (1917, VI, ll. 1-3)

The phrase 'to be, or not to be, is still the question' will be processed as an instance of formulaic language resulting in its retrieval as a whole, despite the slight deviation from the original. A similar example can be found in Pound's Canto 43:

in the parish of San Giovanni (Joannis)
To be or not to be tied up with the Pawn Shop
and his successors in the Great Duchy

Ezra Pound (1937, ll. 6256-8)

This example places emphasis on the formulaic nature of the quotation, which becomes apparent through the shift in meaning occurring in the line 6257. Pound seems to rely on the readers' expectations and the formulaicity of the phrase 'to be or not to be', which is initially recalled as a whole. However, the addition of 'tied up with the Pawn Shop' clarifies that the line is in the passive voice with 'to be' acting as the auxiliary rather than a stative verb with an existential meaning. Thus readers need to amend their reading of the line. Thus, this type of repair highlights the expectations tied with the formulaic nature of the Shakespearean phrase and the ways these can be creatively explored.

6.2.5 Quotation and creativity

This last example brings forward another facet of quotation and formulaic language, namely the fact that quotations can acquire various forms and still be processed as formulae. Moreover, it brings into play the role of creativity in literature. We have seen above (6.2.1) that quotations are still recognised as such even if they undergo a number of changes. Variation and creativity in language use is a major feature of literary texts. Wray (2002) draws the distinction between novel uses of language as found in poetry and prefabricated memorised forms. However, I argue that the presence of prefabricated instances is not incompatible with the creative use of this particular material. My discussion of quotation and creativity will revolve around a more general account of the relationship between the two and then I will focus more on the different types of variation.

Creativity has recently attracted the attention of a number of scholars from the field of applied linguistics, for example in the publication of a special issue of *Applied Linguistics* (2007). Maybin and Swann (2007) note that creativity may be broadly seen as a property of all language use with users having the ability not only to reproduce but 'recreate, refashion, and recontextualise linguistic and cultural resources' (2007: 491). Carter (2007) stresses that Western cultures have regarded literature as the product of an 'individual, inspired genius' (598) or, according to the modernist tradition, a conscious effort to challenge the existing valued forms of thought and representation. On the other hand, in applied linguistics, creativity is seen as a feature of everyday language. Carter (1999, 2004) makes the distinction between *literariness* and *creativity*, the latter being a matter of degree across literary and non-literary texts alike (see also Gibbs, 1994; Kress, 2003). The former refers to the nature of creativity as a continuum. Moreover, Cook (1997, 2000) and Crystal

(1998) focus on language play as a source of creativity, while others, such as Barsoux (1993) and Holmes (2007), focus on humour. More closely related to quotation, Pennycook (2007) discusses creativity in conjunction with repetition. The importance of repetition has been pointed out by Tannen (1989), who states that repetition is a resource used for creating a relationship, a discourse and a world allowing for limitless individual creativity and interpersonal involvement. Apart from everyday discourse, repetition is very significant for creative language use (Carter, 2004; Cook, 2000).

The links between quotation and repetition are evident with quotation being a manifestation of the phenomenon, as Wray (2010) has pointed out. For quotations though, the original context of use and the source texts play a defining role even when there is no indication of their origin. Therefore, when accounting for quotation, there are three contributing 'variables' that we have to consider: the origin of the quoted material, the new context of the quoted material along with any changes, and finally the reader who is capable of recognising the quotation. Thus, we can talk about three different layers of the creative process. The initial layer is no other than the original author producing the textual string that will be later borrowed and incorporated in the writing of another author. The creative process at the second layer has to do with the process of adaptation and appropriation of the borrowed material in its new context by another author, as described in section (6.2.1). Finally, the third layer refers to the readers who recognised the material despite the potential changes it has undergone. Consequently, when writers choose to include a quotation in their work, they appeal both to their own creativity and to the readers', who may need to recreate, refashion and recontextualise their resources.

Returning to stylistic intertextual frames, we can link Maybin and Swann's model (2007) for approaching creativity to the way readers recognise and process instances of quotation. It can be suggested that readers operate in all three dimensions, the textual, contextual and critical. At the textual level, they recognise the textual patterning of the quotation and whether there has been any creative intervention on the part of the author leading to a discrepancy with the formulaic sequence they have stored. This way they become aware of the contextual use of the sequence and create the stylistic intertextual frame. This stylistic frame can be described as the online processing domain containing the original form of the quotation alongside its new form and contextual use thus allowing readers to arrive at a critical interpretation of the latter. At the textual level, readers also need to be aware of the surrounding co-text. This may challenge their background knowledge concerning the quotation and compel them to expand their understanding leading them to the third, critical level, where they form their own evaluative stance towards the particular instance. Maybin and Swann stress that the use of the term 'critical' is not the same as in approaches like Critical Discourse Analysis, and the same is the case for the current approach. This can be illustrated as follows. In *The Waste Land* (1922) Eliot appropriates a number of lines from Shakespeare's work. One of them can be found in 'The Burial of the Dead':

Madame Sosostris, famous clairvoyante,
Had a bad cold, nevertheless
Is known to be the wisest woman in Europe,
With a wicked pack of cards. Here, said she,
Is your card, the drowned Phoenician Sailor,
(Those are pearls that were his eyes. Look !)
Here is Belladonna, the Lady of the Rocks,
The lady of situations.
Here is the man with three staves, and here the Wheel,
And here is the one-eyed merchant, and this card,
Which is blank, is something he carries on his back,
Which I am forbidden to see. I do not find

The Hanged Man. Fear death by water.
I see crowds of people, walking round in a ring.
Thank you. If you see dear Mrs. Equitone,
Tell her I bring the horoscope myself:
One must be so careful these days.

T.S. Eliot (1922, ll. 43-59)

In line 48 there is an embedded quotation from *The Tempest*, namely a line from Ariel's song in the second scene of the first act. Interestingly, Eliot has used the phrase with no changes apart from placing it between parentheses and adding the imperative verb 'Look!' in the same line. Nevertheless, these minor changes in the textual level point readers towards a new level of meaning. The parentheses direct the interpretation of the line as the actual words of Madame Sosotris who holds the tarot card of the drowned Phoenician Sailor and reads 'death by water' in the future of the poetic persona. In the new context, the fact that the words of Ariel are uttered by the psychic creates a connection between these two dissimilar characters, leading readers towards a more critical approach to the extract. The associations that they may have concerning the spirit may reflect back on Madame Sosotris and intensify the mystical and eerie atmosphere. At the same time, bringing to mind the content of Ariel's song, the images of death are intensified but at the same so does the idea of transmutation, of 'sea change'.

6.2.6 Formulaic language and quotation variation

Concerning the variability of formulaic language, in an exhaustive study of non-compositional and non-figurative core idioms Grant (2003) concluded that there seems to be a considerable amount of variation in their form. For example, the idiom *pull someone's leg* could yield the following variants: *pull my blue leg*, *having his leg pulled*, *leg pulling*, *yank somebody's leg*. The types of variation range from addition of modifier (blue), nominalization (leg pulling), change of verb (yank

instead of pull) or verb form (having his leg pulled). Read and Nation (2004) note that these instances do not go against the formulaic nature of the idiom, rather they are attempts to add a humorous aspect by manipulating the normally fixed form. Glucksberg (1993) comments on the degree of idioms' opacity in relation to their flexibility. Opacity refers to the absence of a discernable link between the literal reading and the actual meaning of the idioms. Opaque idioms, such as *kick the bucket*, are comprehensible only if individuals are familiar with the meaning of these particular idioms. Therefore, lexical substitution is either not understood or seen as a mistake. In addition, there are restrictions concerning the syntactic variations, which are directed by the 'pragmatics and semantics of an idiom's components' (Glucksberg, 1993: 20). Comprehension and use of transparent idioms are governed by the same principles as opaque ones. However, they differ in one major aspect; lexical substitutions are acceptable if they respect the semantics of each element, the idiom meaning itself, and the relationship between the meaning component and the idiom's elements.

On the other hand, we have seen that quotations have a much less rigid structure as a result of their compositional nature, which renders their meaning totally transparent. For this reason, the degree of variation is expected to be greater stretching in both lexical and syntactical levels. Indeed, this seems to agree with the findings of Hohl Trillini and Quassdorf (2010) and Quassdorf (2010) concerning the degree of variation in quotations within the *HyperHamlet* corpus. Drawing on these, as well as on Grandage's discussion of allusivity (2010), I would like to suggest the following cline of quotation variation:

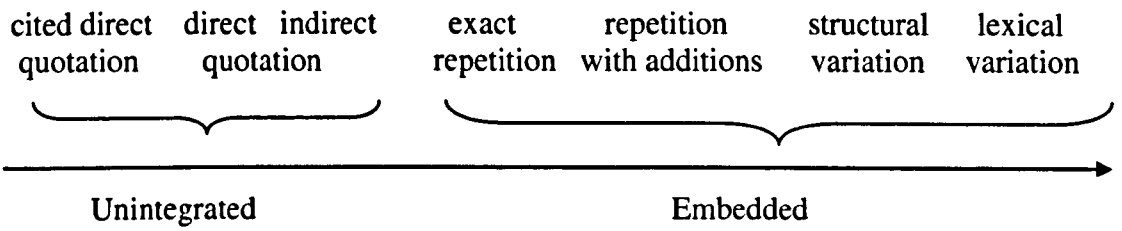


Figure 6.2 Cline of quotational variation and creativity

The figure presents the relationship between creativity and the various types of quotation. Creativity is approached from the perspective of the author with regard to the degree that he or she alters the intertextual fragment and the position he or she places it in the text. Moreover, it is identified with the processing effort that readers need to make in order to interpret the fragment and recognise its ‘borrowed’ nature. Therefore, it can be seen in the figure that there is a greater degree of readerly creativity as we move towards the right end of the cline, where embedded quotations are placed. On the one hand, when using direct unintegrated quotation, authors acknowledge the source and do not introduce any changes, so their creativity, as defined before, is restricted. On the other hand, readers identify the role of the fragment with less effort. If authors choose to employ embedded quotations, then they are more likely to introduce changes to the fragment which can range from additions of words or phrases, to changes in the structure and finally to the substitution of existing elements with new ones. In addition, these instances deviate from the readers’ pre-existing knowledge, so they need to devote more effort to process them. At the same time, as we saw in section 6.2.4, readers may also need to repair their frame and approach the string of text in a new light. The creativity of the authors lies in the inventiveness regarding the change, whereas the readers’ lies in its

recognition and the attribution of meaning to the modified version. The closest example of formulaic language use is when there is an exact repetition of a stagnated phrase. The author's creativity in this case can be associated with the ways that the phrase is used and whether there is an attempt to provide a new dimension to its meaning, which in turn individuals need to recognise. The connection between quotation use, variation and creativity is meant to be a descriptive tool and should not be regarded as a means of evaluating the quality of the author's use of quotations. Its role is to explore the differences among these types and how readers respond to the authors' resourcefulness. All types vary significantly and the only way of evaluating their use is to look at the context in which they are employed, for example whether they are uttered by the narrator or a character.

6.2.7 An application of the construction of stylistic intertextual frames

I would like to provide a more extensive application of the model taking into account how readers form the frames and how their construction influences the reading experience. I will either return to some of the examples used above or introduce new ones. In the first example I will discuss how epigraphs may give rise to the stylistic intertextual frame using another poem by Eliot, namely 'Portrait of a Lady' (1917), which includes the following epigraph:

Thou hast committed
Fornication: but that was in another country,
And besides the wench is dead.

THE JEW OF MALTA

T.S. Eliot (1917)

This is an example of a direct unintegrated quotation, since there is a clear indication of the source text, Marlowe's play 'The Jew of Malta'. Readers familiar with these lines will recognise Barabas' reply to the accusations of the friars in their attempts to denounce his crimes. The stylistic intertextual frame that is created

contains initially the readers' knowledge concerning the play and most importantly their knowledge concerning Barabas, whom these lines place in focus. Nevertheless, the physical separation from the rest of the poem does not facilitate the inclusion of text-specific information in the frame. In addition, the lack of textual elements that could be introduced in the frame may cause difficulties in its completion. Instead of a theme related to those of the tragedy, readers are introduced to a discussion between two lovers, a young man and an older woman. It is gradually revealed that their discussion reflects the end of their affair. The stylistic frame can be completed towards the very end of the poem, when the young man's thoughts are presented:

Well! and what if she should die some afternoon,

Afternoon grey and smoky, evening yellow and rose;
Should die and leave me sitting pen in hand
With the smoke coming down above the housetops;
Doubtful, for a while
Not knowing what to feel or if I understand

Or whether wise or foolish, tardy or too soon...

T.S. Eliot (1917, ll. 114- 21)

Contemplating her future death, the young man may be associated with Barabas and his response to the friars. This association and the completion of the frame allows readers to interpret the use of the quotation and project features of the merchant onto the young man, offering a bleak prospect of his older version. At the same time, these lines highlight the superficiality of his feelings.

Unintegrated indirect quotations are also used in literary text offering no indication of the source text but with some other graphological features pointing to the presence of other voices. The example I used above was from Keats' *To Hope* (1817), namely the phrase 'mind's eye' in the line 'When no fair dreams before

my “mind's eye” flit,/ And the bare heath of life presents no bloom (ll. 3-4)’. The stylistic frame is created once the quotation is identified and it encompasses Hamlet’s (or Horatio’s) and the poetic persona’s use of the phrase. Positioning the quotation in the very beginning of poem has a significant effect in the presentation of the poetic persona and in creating the atmosphere of the poem. Readers may draw a connection between the persona and Hamlet, which seems to be reinforced by the context. The previous lines read: ‘When by my solitary hearth I sit,/ And hateful thoughts enwrap my soul in gloom;’ (ll. 1-2). The construction of the frame directs readers to connect the references to loneliness and ‘hateful thoughts’ with Hamlet’s temperament and project this back to the persona of the poem acquiring a very effective understanding of his personality. This link, thus, seems to have an important role in communicating meaning.

Moving on to embedded quotations, it has already been suggested that the lack of graphological markedness complicates their identification but at the same time allows for creative interventions on the part of authors. An example of exact repetition embedded in a new context can be found in Eliot’s *The Waste Land* (1922). The last line of ‘A Game of Chess’ is an exact repetition of Ophelia’s words ‘Good night, ladies; good night, sweet ladies;/ good night, good night’ (IV, v, 73-4). The stylistic intertextual frame will thus contain both instances blending together the poem with readers’ knowledge about the quotation. However, this line contrasts with the more informal greetings the persona employed previously: ‘Goonight Bill. Goonight Lou. Goonight May. Goonight. / Ta ta. Goodnight. Goodnight’ (ll. 170-1) but also invests the poem with a sense of melancholy and uneasiness associated with Ophelia’s madness.

More creative interventions are observed when additions are made or lexical and structural variations are introduced. Lawrence's addition of the adverb 'still' in Hamlet's soliloquy 'To be or not to be: that is the question' (III, i, 64) in the example used in section 6.2.4 has a powerful effect in drawing attention to the human being's constant concern. The emerging frame resonates with Hamlet's own concerns and his agonising effort to find a response, and transports a similar feeling to Lawrence's persona. On the other hand, Pound's use of the same line in the example in section 6.2.4 produces a humorous effect because of the juxtaposition between the original co-text and the current one. I mentioned above that the formulaicity of the phrase is exploited by Pound, so once readers have adjusted their reading a complete stylistic intertextual frame can emerge. The aforementioned juxtaposition seems to mock the existential nature of Hamlet's question by integrating it in an unexpected and more trivial co-text. It can be suggested that the intertextual reference is aimed at eliciting such a response from readers.

Finally, an example of lexical variation in the use of quotation can be found in the third section of *The Waste Land*, 'The Fire Sermon'. In lines 189-195, the persona described the landscape of destruction spreading in front of him:

While I was fishing in the dull canal
On a winter evening round behind the gashouse
Musing upon the king my brother's wreck
And on the king my father's death before him.
White bodies naked on the low damp ground
And bones cast in a little low dry garret,
Rattled by the rat's foot only, year to year.

T.S. Eliot (1922, ll. 189-95)

The line 191 'Musing upon the king my brother's wreck' is an embedded quotation from *The Tempest*. However, there are variations from the original line uttered by young Ferdinand: 'Sitting on a bank,/ Weeping again the king my father's

wreck,/ This music crept by me upon the waters,/ Allaying both their fury and my passion/ With its sweet air' (I, ii, 393-397, my italics). The changes introduced include the substitution of 'weeping' with 'musing', the adverb 'again' is omitted and the genitive in 'my father's wreck' is substituted with 'my brother's wreck', while the former is used in line 192. It can be seen that there is considerable variation from the original verse. However, if readers recognise the quotation, they will activate a stylistic intertextual frame which will contain the original lines from Shakespeare's play as well as the new version from the 'The Fire Sermon'. The creation of the frame will allow readers to reflect on the nature of the changes and evaluate the poetic persona based on them and the juxtaposition with the original context. It can be suggested that Ferdinand's lines echo his feelings of grief due to the death of his father while at the same time presenting a fusion among the sea, the music of Ariel's song, the air and his own feelings. The imagery of the fusion is very dynamic and vibrant. The persona in Eliot's poem also finds himself sitting by the bank of a river but this time he is involved in a more trivial activity, fishing. Moreover, instead of weeping, he is 'musing' upon the death both of his brother and his father, a much less powerful lexical choice which reveals an emotionally detached persona. His indifference is also highlighted by the apathy with which he describes the surroundings where scared naked bodies and bones are scattered. Lines 191-2 also involve a sense of repetition of events with the death of the son following that of the father. This pattern surfaces again in line 195 with the use of the phrase 'year to year' and offers a possible justification for the persona's detachment. Consequently, the contrast between the lack of emotion and its very strong expression emerges from the stylistic intertextual frame and enables a reader to construct a more complete image of the narrator.

The creation of stylistic intertextual frames, thus, appears to be a complex process that requires engagement with the text on various levels. Nevertheless, if they are successfully constructed, these frames can provide textured readings and increase the reader's engagement with the literary text. In the following section, I will discuss the other type of stylistic intertextual frame that may arise as a result of identifying generic similarities between texts.

6.3 Stylistic intertextual knowledge: the case of genre

In Chapter 3, I briefly referred to the literary genre and quoted part of Wales' definition, 'genre is ... an intertextual concept' (2001: 221), with the intertextual elements acting as a frame of reference. A number of scholars have approached intertextuality as a frame that shapes our expectations concerning the formal and structural features of texts, for example Eco (1979) and Genette, (1997a) and Frow (2006). De Beaugrand and Dressler's (1981) treatment of intertextuality within text linguistics has affinities with this view, despite the fact that it focuses on the structural characteristics of the micro-level of texts. Genre has been approached both by linguists and literary scholars, the latter focusing mainly on literary genre. Some literary scholars, such as Genette (1992) and Alastair Fowler (1982), have provided thorough discussions of literary genres, while others, such as Todorov (1976) and Derrida (1980) have attacked genre, as 'an anachronistic pastime' (Todorov, 1976: 159). On the other hand, in linguistics the study of genre has met continuing interest from the 1980s. Historically, the discussion goes back to notion of *register* (e.g. Barber, 1962; Halliday and Hasan, 1976, 1985), which was greatly exploited in the ESL/EFL context as well as in the context of English for Academic purposes.

It is within this context that one of the most influential accounts has emerged. Swales (e.g. 1990, 2004) has written extensively on its theoretical aspects, while

focusing on academic writing and building on the Hallidayan term of *mode*, which refers to the ways various linguistic choices are made according to the channel of communication. For Swales, genre is ‘a class of communicative events’ (1990: 45) realised within particular discourse communities. Nevertheless, more recently after considering the various works on the notion Swales was ‘less sanguine about the value and validity of such definitional depictions’ (2004: 61). Instead he claims that ‘to characterise genre [should be seen] as being essentially a metaphorical endeavour’ (61). For this reason, one of the approaches he proposes is that of *genre as frame*. The frame becomes a starting point providing orientation both to speaker/writers and listener/readers. This brings to mind Eco’s (1979) *intertextual frames*, the narrative schemes that individuals have stored and can activate while reading. In the following sections I will discuss how the notion of genre can help us account for a particular type of stylistic intertextual frame.

6.3.1 Genre as schema and stylistic intertextual frames

The first step towards establishing a link between intertextual connections and genre is to discuss the relation of the latter with cognition. Interestingly, the link between genre and cognition has been pointed out by Swales (1990), who connected genre with *prototypicality* and identified the properties which determine the extent to which a text is prototypical of a particular genre, namely the form, structure and audience expectations. This idea is also related to Fowler’s (1982) idea that genres act as matrices that allow writers to formulate their plans. The same matrices may be used readers to orient their initial expectations. Moreover, Stockwell (2002) has proposed a cognitive approach to genre identification building on *prototype theory* (e.g. Rosch, 1975, 1977, 1978) and has suggested the following hierarchy (2002: 34):

mode poetry, prose, drama, conversation, song...

<i>genre</i>	comedy, tragedy, gothic, surrealism ...
<i>sub-genre</i>	mock-epic, comic opera, airport fiction, war novel, political memoire...
<i>type</i>	sonnet, ballad, email, one-act play, short story...
<i>register</i>	reporting language, letter-writing, narrative, lyricism...

Stockwell claims that 'mode' is the category that people think of more readily, the basic genre level. Therefore, it can be suggested that the first, largely unconscious step when reading any type of text is to assign particular mode characteristics to it. When this is done, they may be able to further refine their categorisation and specify the genre and the potential sub-genre or the type.

At this point, though, the question arises as to how readers are aware of these characteristics. Prototype theory can account for the identification of categories and to a certain extent seems to explain the way people identify textual features in terms of the 'goodness-of-example' principle. However, it does not provide us with a more concrete explanation as to how the decision is made. A more comprehensive theory in terms of describing detailed processes is *schema theory*, which has its origins in Bartlett's seminal work (1932). Bartlett's model was psychological and it was appropriated in the field of artificial intelligence by Schank and Abelson (1977), who used the term 'scripts', and later by Schank, who preferred 'plans' (e.g. 1982). In addition, schema theory has been used in literary discussion assuming the term *schema poetics* (Stockwell, 2002: 88, see also Cook, 1994). In literary contexts, there are three types of schemas in operation, namely world schemas, text schemas and language schemas. World schemas are related to the content of the text while text schemas have to do with the readers' expectations concerning sequencing and structural organisation of the world schemas. Finally, language schemas represent the readers' expectations concerning 'the appropriate forms of linguistic patterning and

style' (Stockwell, 2002: 80). Building on this idea, it can be suggested that readers may possess the appropriate schemas that would allow them to identify genres, sub-genres, types and registers. More specifically, world schemas can be related to genres and sub-genres, since both contain information about the content of works. In addition, text schemas can be related to types, that is to the more structural specification of a literary text, and finally language schemas to register, as both contain information concerning linguistic patterning.

Returning to the creation of stylistic intertextual frames based on the structural characteristics of texts, a threshold that marks their creation can be identified. It can be suggested that the identification of the mode of the text alone is not able to trigger intertextual connections. It is unlikely that any individual reading a poem, say by Dickinson, will connect it to a poem by Whitman only on the basis of their poetic nature. One has to look for more precise, less general characteristics and move down the hierarchy proposed by Stockwell. The level where stylistic intertextual frames are more likely to arise is that of type. At this level, texts are categorised rigorously according to their formal features. Consequently, rather than talking about poetry, we talk about sonnets, odes, haikus or rubaiyat. If a reader is familiar with the structure of Shakespearean sonnets, then he or she may more readily connect two sonnets together. This is aided by both the text schema concerning the form and content of this particular type of poem, and the language schema of stylistic features. For example, when reading 'Sonnet 138' by Shakespeare, readers may activate their sonnet text schema and start tracing its structural elements.

Sonnet 138

When my love swears that she is made of truth
I do believe her, though I know she lies,

That she might think me some untutor'd youth,
Unlearned in the world's false subtleties.
Thus vainly thinking that she thinks me young,
Although she knows my days are past the best,
Simply I credit her false-speaking tongue:
On both sides thus is simple truth suppress.
But wherefore says she not she is unjust?
And wherefore say not I that I am old?
O! love's best habit is in seeming trust,
And age in love loves not to have years told:
Therefore I lie with her, and she with me,
And in our faults by lies we flatter'd be.

William Shakespeare (published 1609, edited by H. Vendler)

Their sonnet text schema may include knowledge concerning the number of lines and the structure in three quatrains and a final couplet as well as the rhyming pattern *abab cdcd efef gg* which can be observed in this particular example. Their world schema is also activated and fits with the content of the sonnet, namely the torments of love along with the final poignant lines that invite different interpretations of the persona's attitudes towards his relationship. An interpretation of this line can favour the feelings of cynicism, bitterness and despair (Booth, 1977), or the fusion of the two lovers into a 'we', a reading supported both by Booth (1977) and Vendler (1997). Finally, the language of the poem also seems to fit the language schema of sonnets, which may include the metaphoric language, the third person singular form '-eth' or the subject-verb inversion.

Nevertheless, intertextual links can also be built by subverting the expectations of readers in terms of content and style. This is the case for a particular style of writing, parody, which is defined in the *Oxford Concise Dictionary of Literary Terms* as 'a mocking imitation of the style of a literary work or works, ridiculing the stylistic habits of an author or school by exaggerated mimicry' (Baldick, 2001: 185). A number of literary theorists have highlighted its ties with

intertextuality, for instance Genette (1997a), and Hutcheon (1989). Interestingly, in Hutcheon's index the entry for 'intertextuality' directs the reader to that of 'parody'. In the following section I will discuss how parodic texts trigger intertextual connections using the notions of schema disruption and schema refreshment.

6.3.2 Parody and schema disruption and refreshment

As I mentioned previously, there are some particular literary texts which may trigger intertextual connections by flouting the readers' genre expectations. These texts, namely travesty, mock epic and pastiche, fall under the broader category of parody and are considered distinct genres or sub-genres in their own right. Diverse examples include Cervantes' *Don Quixote* (1605), which can be seen as a parody of chivalric romances both in terms of stylistic features and content, Don Quixote being a far cry from the archetypal chivalric hero; Aristophanes' comedy *The Frogs* (405 BC) a parody of both Euripides' and Aeschylus' grand style and the Athenians' conception of the dramatists, and Joyce's *Ulysses* (1922), which can be seen partly as a travesty of Homer's *Odyssey*. Each chapter of *Ulysses* is structured around particular themes and characters that correspond to those of the *Odyssey*. Hutcheon (1985) has defined parody as 'a sophisticated genre in the demands it makes on its practitioners and its interpreters' (33) and the latter are required to take a 'critical ironic distance' (34) more prominently than in the case of quotation. The reader needs to be alert in order to identify parodic elements and also to appreciate their role in constructing the meaning of these works. An important characteristic of parodies is noted by Bex (1996), namely that 'the point about parodies is that there is no prior text, there are merely prior texts, which can in some way or another be considered as representing some kind of genre' (139). In other words, this implies that the stylistic intertextual frame constructed while reading a parodic text does not incorporate an activated text.

Instead, it contains the reader's schematised knowledge and the text with which he or she is engaged. Therefore, initially the parodic elements are recognised in terms of their contrast to the norms anticipated by the reader and then he or she evaluates the outcome of the parody. In cognitive terms this can be explained if we consider Cook's terms of 'schema disruption' and 'schema refreshment' (1994). Schema disruption takes place when there are deviations at the level of language or text offering a challenge to the existing schemas of the readers. As a result they need to change them in terms of establishing new connections between existing schemas, destroy old ones or creation of new ones. This process is styled 'schema refreshment' (Cook, 1994: 191). In addition, Cook claims that these two processes are the essence of literariness because they pose a challenge in terms of linguistic experimentation at the level of background knowledge. In contrast, other types of discourse, such as newspaper articles, do not aim at challenging existing schemas but rather reinforcing, confirming existing ones or even adding new schemas. These effects are termed 'schema reinforcing', 'schema preserving' or 'schema adding' respectively.

When it comes to literary works written in order to parody other texts, it can be suggested that the first stage mentioned above can be identified with schema disruption, as the style or content of the work does not agree with schemas of the readers, urging them to re-evaluate their initial interpretation leading to schema refreshment. An illustration can be provided again by one of Shakespeare's sonnets, namely 'Sonnet 130' quoted below:

Sonnet 130

My mistress' eyes are nothing like the sun;
Coral is far more red than her lips' red ;
If snow be white, why then her breasts are dun;
If hairs be wires, black wires grow on her head.
I have seen roses damask, red and white,
But no such roses see I in her cheeks;

And in some perfumes is there more delight
Than in the breath that from my mistress reeks.
I love to hear her speak, yet well I know
That music hath a far more pleasing sound;
I grant I never saw a goddess go;
My mistress, when she walks, treads on the ground:
And yet, by heaven, I think my love as rare
As any she belied with false compare.

William Shakespeare (published 1609 edited by H. Vendler)

Shakespeare's speaker compares the features of his mistress to the beauties of nature, a common practice of a number of sonneteers following the Petrarchan tradition. Petrarchan sonnets often used this type of imagery in order to praise the beauty of women. However, in each comparison attempted here, the mistress seems to fall short: her eyes are not as bright as the sun, nor are her lips as red as the corals whereas her hair is like black wires. The persona seems to steadily deconstruct the conventional manner of writing a sonnet, since the object of praise can never measure up to the qualities of nature. For this reason, scholars have come to regard it as a parody of sonnets written at that time. Mowat (Mowat and Werstine, 2004) mentions that the sonnet plays with the contemporary poetic convention, Steele (2004) points out that the Petrarchan imagery is used while being undermined, and finally Booth (1977) writes that Shakespeare 'mocks the thoughtless, mechanical application of the standard Petrarchan metaphors' (453-454), as can be seen in the final line 'as any she belied with false compare'.

When readers familiar with the conventional sonnet style start reading 'Sonnet 130', they will immediately notice the seemingly unflattering comparisons that challenge their world genre expectations concerning the content of love sonnets. The very first line bears significant effects as it initiates the schema disruption with the negative comparison 'nothing like the sun'. The set of comparisons that follows sustain the schema disruption and urge the readers to refresh their schema concerning

the content of sonnets. More specifically, the refreshed schema may contain knowledge about a type of sonnet that is not based on embellishments but rather on a more realistic description of the loved one. This way, attention is drawn to the exaggerated style of other sonnets while preparing the ground for the final couplet: 'And yet, by heaven, I think my love as rare/ As any she belied with false compare', which can be paraphrased as 'In all, by heaven, I think my love as rare/ As any she conceived for compare' (Vendler, 1997: 556). The truthfulness and honesty of the preceding description reinforces the statement of the persona and highlights the candour of his feelings.

A closer analysis demonstrates that the persona never actually undermines the beauty of his beloved. As Vendler (1997) notes, although there is nothing positive predicated of the mistress, there is nothing negative predicated of her either. Instead, the persona chooses to place her in the background each time comparisons are attempted in order to avoid discounting her. Apart from the striking opening line of the poem, she appears only as the second constituent of the comparison, for example, 'If hairs be wires, black wires grow on her head', not assuming thus the subject position nor becoming the agent for the greatest part of the poem. In addition, direct comparison in the form of the structure 'more... than...' is used only twice in lines 2 and 8, and it is interesting to note that it is made in positive terms using the modifier 'more'. This way, qualities are added to the first elements instead of depriving the mistress of any. In other words, her lips remain red and her breath delightful even though corals are redder and some perfumes have a better scent (note here the use of the modifier *some*).

This aim of this very brief analysis was to demonstrate how Petrarchan sonnets are parodied by drawing attention to their exaggerated style and disrupting

the schemas of the readers. This is mainly achieved by the speaker's rejection of the traditional way of praising his beloved. He proposes a new more sincere discourse as an alternative which can nonetheless mediate his true feelings. Therefore, it can be suggested that despite the disruption of the world schema disruption, the sonnet seems to follow the expected text and language schemas.

At this moment it becomes clear that intertextual connections based on schema preserving, disruption and refreshment differ significantly from the connections arising from thematic intertextual knowledge or quotation recognition. Rather than pointing readers towards a specific text that would be incorporated in the intertextual frame, they direct them towards a more general pool of knowledge related to particular genre characteristics. By either conforming to the expectations or by challenging them, texts are less likely to point to particular literary texts that form the basis of the connections. For instance, in 'Sonnet 138' the content and a number of stylistic and structural elements, such as the rhyming, the title itself, and structure of the quatrains, conform with the text, world and language schemas of sonnets and thus impel readers to treat it as a prototypical example of this form of writing. In contrast, in 'Sonnet 130' the deviation from the world schema of sonnets may direct individuals to read it as a parody of the genre and adopt a more critical stance towards both the poem and sonnets in general. Their schematised knowledge concerning sonnets provides the basis for the creation of the intertextual frame despite the fact that no other text is incorporated in it, which brings us back to Bex's (1996) remark quoted previously.

At this point, another question arises concerning the strength and the effect of these connections. I believe that there is an important difference between the frames resulting from prototypical examples and schema refreshment. The former solely

provide some sort of 'guidelines' concerning the way the text is to be read and remain dormant for the greater part of the process. Hence, they do not seem to have a significant effect on the reading experience. On the other hand, the latter requires greater processing on the part of the readers, who need to activate existing schemas, only to abandon them and replace them with newly created ones. This process draws attention to the text itself and also prompts them to treat as significant the choice of subverting their expectations.

6.4 Stylistic intertextual frames and texture

The discussion of the effects of the frames leads us to the notion of texture (3.5.6.2). Due to the dissimilarities between the two types of stylistic frames, I will consider them separately. Firstly, the effect of stylistic intertextual frames arising from the identification of quotations can be accounted in terms of faint and fine texture. As seen in the previous chapters, fine texture is characterised by prolonged resonance, i.e. the ability to exert an extensive effect on the reading experience. High granularity acquires particular significance in the discussion of quotation. In its primary definition in Chapter 3, it was specified that it referred to the recognition of the exact phrase(s) from the accessed text. Nevertheless, quotations may be exact renderings of excerpts of other (literary) texts, so no extra effort is required on the part of the reader. Alternatively, as we saw above, quotations may have undergone a number of changes. In this case, high granularity is achieved if readers bring to mind the phrase alluded by the quoted text and interpret the new occurrence by relating it to its original context. It can be suggested that the more elaborate the changes are, the more involved the readers may feel after recognising the original, which will positively affect their reading experience. As far as the text-driven criteria are concerned, strong textuality seems to be presupposed, though it should be stressed

that in the case of embedded quotations, readers are capable of tracing all the elements deriving from another text. In addition, distinct specificity can be redundant if there is a direct unintegrated quotation. If the quotation is indirect or embedded, fine texture is achieved when readers recognise a specific work as the origin of the quotation.

Conversely, when quotations do not bear a significant effect on the reading experience, this can be attributed to faint texture. Faint texture can result from momentary resonance on the part of the readers due to a number of reasons. For instance, it can be related to the physical distance of the quoted material from the actual text, as in the case of the epigraphs. The physical separation may act as an impediment in carrying the intertextual link onto the main body of the literary text. Another reason may be the readers' lack of familiarity with the quoted material, which prevents the activation of the necessary encyclopaedic knowledge. Whether low granularity, and the text-driven criteria of weak textuality and indistinct specificity will emerge and affect readers depends highly on the type of quotation. More specifically, if the quotation is a direct unintegrated one, then these criteria do not seem to apply, since there is direct indication of the source of the quoted text. The same can be suggested for indirect unintegrated quotations, though to a lesser extent. Since there is indication of the nature of the text, we cannot talk about or weak textuality or low granularity, although readers may not be able to recognise the quoted text (indistinct specificity). Finally, embedded quotations can be described using the whole scale of faint texture; readers may not be able to remember the quoted text precisely (low granularity), trace the exact words that give rise to give rise to the connection (weak textuality) or recognise the quoted text. Nevertheless, I believe that this fact does not necessary imply that embedded quotations are more

likely to result in faint texture. This depends solely on the individual reader and his or her encyclopaedic knowledge and attitudes towards the text. Another important parameter is that quotations are *integrated* in the literary text by the author and the presence of direct markers influences the way readers respond to them intertextually.

Stylistic intertextual frames created by identification of structural similarities or discrepancies from the expectations of the readers, as in the case of parodies, can also be discussed in terms of fine and faint texture, though the existing model should undergo some modifications. This is due to the nature of these frames, which invite for investigation on the macro-level of structure mainly, and to a certain extent, of content. Until now I have used the terms *faint* and *fine* texture to describe the ends of a continuum that characterises the effects of the construction of an intertextual link on the readers. In the case of the frames constructed on schema activation or disruption, I will use faint texture for the former and fine for schema disruption. My claim is that stylistic intertextual frames are more likely to be characterised by faint texture when they are created while reading literary texts that comply with particular generic schemas. Upon the identification of the generic features, readers activate their world, text and language schemas that remain in the background acting as guides and prompting their expectations.

Conversely, if text, world or language schema disruption takes place, then texture is more likely to be described as fine, because the discrepancies between the expectations and the current text will call attention to themselves and they will be foregrounded. Consequently, the readers will need to consciously amend their schemas. However, it should be stressed that in both cases readerly-driven and text-driven criteria should hold in order for the intertextual frames to have a significant effect on the reading experience. In particular, prolonged resonance is once again an

important criterion, as it describes the global effect of the stylistic frame. For instance, if 'Sonnet 130' is identified as a parody of Petrarchan sonnets, readers should carry this information throughout their reading in order to build a successful intertextual connection by comparing and contrasting their previous knowledge with the sonnet. In addition, strong textuality would mean that readers are familiar with the exact elements that constitute the schema or break the norms, for example in 'Sonnet 138' the rhyme patterning, the quatrains and the theme of the poem. On the other hand, specificity and granularity are less likely to emerge since readers bring to mind schematised knowledge rather than specific texts. This seems to hold for most readers apart from expert ones, who may have the ability to create an intertextual frame triggered by a specific text instead of schematised knowledge. An example of this with regard to 'Sonnet 130' is Rogers' (1960) study that highlights the similarities between the sonnet and Watchon's *Passionate Century of Love* (1582) and Linche's poem collection *Diella* (1596). However, expert readers are members of specialised speech communities which have a threshold level with a high degree of content and discursal expertise.

6.5 Creativity and intertextual frames

The last point in the discussion of texture and stylistic frames pointed towards the notion of *discourse communities*, as it was proposed by Nystrand (1982) and explored by Swales (1990). The concept of community membership has been investigated by a number of scholars in various fields assuming different names accordingly. A famous example is Stanley Fish's notion of *interpretive communities* (1980) from reader-response theory, while the term *speech community* (e.g. Labov, 1966, 1972) is commonly used in sociolinguistics. The difference with discourse communities lies within the strong social underpinnings of speech communities,

membership to which depends more on locality and the communicative needs of the group, and can be passed by birth, adoption or accident (Swales, 1990: 24). Finally, a more recent sociological term with an emphasis on how learning occurs is Lave and Wenger's *communities of practice* (1991), which is defined as 'a set of relations among person, activity and world, over time and in relation with other tangential and overlapping communities of practice' (98). The focus, though, of communities of practice is on how learning occurs in various milieus. For the purposes of the current account, the term 'discourse communities' will be preferred due to its intrinsic relationship with the notion of genre.

When it comes to intertextuality, membership in a discourse community appears to be presupposed by most scholars, and it seems difficult indeed to account for intertextuality without referring to particular types of readers. One of the most open acknowledgements was offered through Riffaterre's *sociolect* (e.g. 1984a, 1990b see also Chapter 1), which is defined as '[l]anguage both as grammar and repository of the myths, traditions, ideological and aesthetic stereotypes, commonplaces and themes harboured by a society, class or social group' (Riffaterre, 1990b: 130). In a way, it can even be suggested that appealing to readings of discourse communities attests the existence of the phenomenon itself. Porter (1986) has also highlighted the link between intertextuality and discourse communities with special emphasis on the readers' creativity. I have already referred to creativity in relation to quotation but at this point I would like to discuss it more holistically taking into consideration semantic, topical and stylistic intertextual frames.

It has been argued so far that semantic, topical and stylistic intertextual frames differ significantly with regard to the way they are created and their effects on the reading experience. The most striking difference can be approached in terms of

the idiosyncrasy of intertextual links. I am using idiosyncrasy here as an analogous term for *creativity* as defined by Halliday (1973), namely ‘the speakers’ ability to create new meanings: to realise the potentiality of language for the indefinite extension of its resources to new contexts of situation’ (42). Consequently, ‘idiosyncrasy’ is used here to denote distinct individualistic rather than eccentric readings, although the latter can also be catered for. Semantic intertextual frames are the most idiosyncratic frames, as their creation depends solely on the cognitive models individual readers possess. More specifically, their creation depends on the activation of the cognitive model LITERARY ENTITY associated with a particular lexical concept, for example [TIGER] as discussed in section 4.5.1.1, supposing of course that the model exists. It is at this point that their creative ability assumes a major role investing the literary text with an added layer of meaning resulting from the intertextual link. Rich’s tigers are not seen solely as the large predators from Asia but assume the symbolism of Blake’s tiger. A related facet of this kind of creativity is the fact that the source text does not bear any signs which would potentially guide the readers towards establishing the connection. Creativity also manifests itself in the numerous intertextual links that may result from this type of activation owing to the various LITERARY ENTITY models associated with lexical concepts and vehicles.

Topical frames are constructed based on the identification of a number of connected semantic frames which point towards the construction of an intertextually-built text world. It has already been discussed in Chapter 5 that since readers need to rely on a variety of textual elements, these frames can be seen as less idiosyncratic than the semantic ones (3.2). The readers’ creativity is then seen as their ability to furnish the intertextually-built text world and the richness that it acquires, though

individualist readings are less likely to emerge. Finally, stylistic frames differ considerably from other two types sanctioning intertextual connections. In section 6.2.5 of this chapter I discussed the relationship between different types of quotation and the various agents of creativity. If we focus on the readers' agency, it can be suggested that the degree of their creativity is more limited, especially if the quotation is unintegrated. At this point the role of the author in inducing intertextual connections becomes more prominent and the readers' idiosyncratic readings are significantly lessened. Similarly, as far as intertextual frames based on generic schema activation or disruption are concerned, authorial intention is once more present; authors decide to structure their work according to generic principles or to infringe them. Individuals need to base their readings on a specific set of structured knowledge which informs them about the genre conventions which are either obeyed or broken. This type of knowledge is acquired through membership in particular discourse communities. As Swales (1990) notes 'knowledge of the conventions of a genre ... is likely to be much greater in those who routinely or professionally operate within that genre' (54). These discourse communities can vary from very formal ones found in academic or other educational contexts to less formal ones, such as reading groups. Membership allows individuals to acquire knowledge provided through information and feedback mechanisms and to develop a specific lexis that facilitates efficient communication exchange. Therefore, the creation of stylistic frames is primarily based on knowledge acquired within these contexts.

It becomes clear from the above that idiosyncrasy and creativity are treated as analogous terms strongly associated with semantic intertextual frames and that they become weaker for topical and stylistic ones. Stylistic frames especially have a very low degree of idiosyncrasy and creativity, in the sense that the link will be triggered

as a response to training received as a result of being a member of a (usually formal) discourse community. However, this does not deprive readers of their ability to construct new and personal readings. What is more, in these cases creative interpretations may be encouraged if the author has employed genre conventions or quotations creatively, as in the examples discussed in the previous sections, seeking a response from an informed reader. Knowledge acquired through the participation in discourse communities enables individuals to recognise both the original occurrences and their creative renderings.

6.6 An overview of the approach

The approach to intertextuality proposed in this thesis aimed at accounting for the role of the readers' background knowledge in the process of constructing intertextual links. Semantic, topical and stylistic intertextual frames delineated the different types of links that may emerge varying in degrees of idiosyncrasy, complexity and effect on the reading experience. Semantic frames were described as the most idiosyncratic frames that could cater for the most impressionistic intertextual links. On the other hand, topical frames relied on various textual elements for their emergence, and are more likely to have a lasting effect on the experience. In some cases, a more complete and accurate understanding is based on the readers' ability to realise the topical intertextual frame using textual cues and their background knowledge. Moreover, stylistic intertextual frames dealt with two types of connections: connections that arise from the presence of quotations and connections that are based on generic characteristic that readers can trace.

For the purpose of the thesis, I employed examples from poetic texts and discussed how intertextual connections formed between literary texts. The examples were used to illustrate different aspects of the model and reflected my personal

readings of literary texts and the intertextual connections I constructed during the reading process. My analysis relied on poetic texts due to their succinctness and expressive richness, though the model can be applied to any type of text, as it will be shown in the next section where a short story by Borges will be discussed briefly. Moreover, the examples illustrated the creation of intertextual links that were based on the activation of concrete background knowledge in the form of other literary texts. However, the model has not described in detail how less concrete intertextual links arise. One limitation was briefly discussed in section 4.8 regarding looser word associations. For instance, it is not able to explain the connections of lexical items such as *blossom* and *garden* and thus fail to explain a connection between Dickinson's poem 'This is a Blossom of the Brain' and Marvel's allegoric poem 'The Garden' (1681), where he elaborates on the benefits of intellectual solitude. Further elaboration is needed in order for the current model to capture this type of intertextual connection.

6.7 Review

The purpose of this chapter was to introduce and discuss the properties of stylistic intertextual frames. Quotations were approached based on the degree of explicitness of the markers accompanying them, arguing that their presence or absence plays a major role in the way they are approached by readers. It was also argued that stagnated quotations are processed as instances of formulaic language use. On the other hand, intertextual connections built based on the notion of genre were discussed in terms of schema activation and disruption with particular attention paid to how parodic texts generate intertextual connections. Finally, a recurring concept in this chapter was creativity. It was initially related with the various transformations quotations undergo and three facets were identified, namely the original author's, the

appropriator's and the reader's creative processes. In the last section, the account was restricted to readers' creativity as it is manifested through the creation of the different intertextual frames. It was argued that it may be tied with more idiosyncratic intertextual connections through semantic frames, but in the case of stylistic frames it is closely related to possible readings of the intertextual elements.

7 Emotion and intertextuality

7.1 Introduction

The previous chapters focused on the formal aspects of the emergence of intertextual links and proposed a link with cognition. The aim of this chapter is to investigate the relationship between intertextuality and the affective response to literary texts in an attempt both to strengthen the link with cognition and to investigate further aspects of the phenomenon of intertextuality. To my knowledge, neither literary theorists nor linguists have looked at intertextuality in conjunction with emotion, so this chapter will introduce a new approach to the study of intertextuality.

The connection between cognition and emotion was highlighted in *appraisal theory*, which has been developed and described by Schachter (1971), Lazarus (e.g. 1984, 1991), Frijda (1986) and Oatley and Johnson-Laird (1987) among others. According to appraisal theory, emotion is experienced as an effect of both physiological arousal and *cognitive appraisal*. As Oatley and Jenkins have stated, ‘an emotion is usually caused by a person consciously or unconsciously evaluating an event as relevant to a concern (a goal) that is important’ (1996: 96). This remark brings to mind to literary reading and the readers’ engagement with text, which was highlighted in the Chapter 3 as a crucial parameter for the creation of intertextual links. In the first part of this chapter views on emotion from the literary tradition will be explored and then the model that brings together emotion with intertextuality will be presented. The second part involves a short mixed methods study that is aimed at investigating the construction of intertextual links and their role in the affective responses of the participants.

7.2A Theoretical account of emotion and intertextuality

7.2.1 Emotion and literary tradition

Emotion has occupied a central role in the discussion of literature since Aristotle's account in *Poetics* (c. 335 BC). The discussion has taken a number of directions exploring the role of the various agents in the process, namely the literary text, the author and the audience. Two of the core concepts Aristotle focused on, *mimesis* and *catharsis*, have exerted major influence on Western thought. For Aristotle, catharsis, i.e. the feeling of cleansing or purging, is tied to the role of plays, and it is related not only to the emotional cleansing of the play's characters but most significantly to the audience's experience of the same feeling at the end of the play. This experience becomes possible through mimesis, i.e. the representation of a significant and complete event. Literary theorists and philosophers have discussed extensively the concept of mimesis in relation to artistic creation preferring the aspect of 'representation' first suggested by Philip Sidney (1595). On the other hand, psychologist Keith Oatley (1999a, 1999b) prefers the term 'simulation' as the meaning behind the Aristotelian concept and uses a metaphor from cognitive science to exemplify how individuals process plays or literary texts: 'A play or novel runs on the minds of the audience or reader as a computer simulation runs on a computer' (1999a: 105).

On the other hand, the role of the text and its creator in the affective experience was prominent in the works of romantic poets, who were the first to place emphasis on the role of emotion in the creation and appreciation of literary works. Wordsworth identified the creation of poetry with emotion: 'Poetry is the spontaneous overflow of powerful feelings' (1802: 611). Emotion is contemplated by the poet or the reader and this contemplation results in the recreation of the original

emotion. As Opdahl (2002) notes, for Wordsworth '[e]motion represents the poet's subject first in the poet's memory in the moment of writing ... [and also] the poet's meaning within the reader's mind' (76-7) allowing the latter to move from the text to emotion in order to represent the subject. Coleridge, on the other hand, tied emotion to imagination and thought in *Biographia Literaria* (1817). Imagination 'dissolves, diffuses, and dissipates in order to recreate' (I, 304). However, this conception of the author was not accepted by twentieth century critics and writers including T.S. Eliot and Susanne Langer. The former claimed in his essay *Tradition and Individual Talent* that Wordsworth's premise is 'an inexact formula' (1950: 58), since it is neither emotion, nor recollection, nor tranquillity but concentration that allows for experiences to be united. Moreover, for Eliot poetry 'is not a turning loose of emotion, but an escape from emotion' (58). The American philosopher Susanne Langer shared a similar view with Eliot and perceived art as 'the articulation, not the simulator or catharsis, of feeling' (1957: 107) and a true work of art as being 'often above sympathy, and the role of empathy in our understanding of it is trivial' (1967: Vol 1, 164).

These claims for the more impersonal role of the author have urged a number of critics to profess the readers' need to rely on their subjective experiences while reading literary texts. This idea of subjectivity is mainly reflected in Wolfgang Iser's writings. For instance, he writes that readers have to rely on their own experience in order to judge what the literary texts communicate to them; the literary text occupies a 'peculiar halfway position between the world of objects and the reader's own world of experience' (Iser, 1989: 8). This move away from the assumed objectivity of an authority is in accordance with the arguments of reader response criticism, Iser being one of the first that pointed towards the need for looking at readers' responses to

literary texts in his influential book *The Act of Reading* (1978). It is within the latter's premises that the research on emotion has taken an empirical turn incorporating findings and suggestions from cognitive science. Scholars like Willie van Peer, David S. Miall and Keith Oatley have conducted diverse experimental studies focusing on readers' responses to literature and more specifically to the way their feelings resonate. Kneepkens and Zwaan (1995) propose that there are two types of feelings associated with text comprehension, namely fiction emotions and artifact-emotions. Fiction emotions relate to the events described in the fictional world or the characters that inhabit it, while artifact-emotions to the aesthetic quality of the work. Artifact-emotions control fiction emotion, as they are able to diminish the diegetic effect, their awareness that they are being transported into a fictional world. Kneepkens and Zwaan also note that fictional feelings can be either altercentric, when readers imagine themselves in the position of the characters and experience similar feelings, or egocentric, when they 'activate their own emotional experiences to give meaning to the story world' (1995: 132).

More recently, Miall and Kuiken (2002: 233) have distinguished four types of feelings: *evaluative feelings* towards the text; *narrative feelings*, such as empathy with a character; *aesthetic feelings* in relation to specific aspects of the formal features of texts; and finally *self-modifying feelings*. These are distinctive to the literary response and they refer to the restructuring of the reader's understanding of a narrative as well as to the reader's self of sense. Miall and Kuiken note that self-modifying feelings can be generated by metaphors of personal identification leading to the identification of the reader with the character. Participants in their study of Sean O'Faoláin's short story 'The Trout' (1980) shifted to the use of the pronoun 'you' while describing the main character's experiences. Through the process of

reading the text, participants seemed to be confronted with personal feelings and to have recontextualised them in the light of new feelings evoked by the text. Miall and Kuiken's proposal appears to have strong connections with literary stance and the readers' ability to immerse into the world of the literary text and become emotionally involved with the story.

7.2.2 Emotion and literary stance

In Chapter 3 I referred to literary stance as a necessary precondition for the emergence of intertextual connections. Literary stance allows readers to immerse in a text and become more receptive to the events and worlds described in it. It also facilitates what Ingarden has called *concretisation* (1973), inviting readers to imagine a complete world furnished with memories, sensations, actions and objects. As discussed in Chapter 5, text world theory has already provided a very detailed account of how readers use textual cues to conjure up text worlds. In addition, adopting a literary stance allows for the reader's emotional involvement with fictional events, even though readers are aware these events are unreal. It is interesting, though, to observe that theorists connect this idea with emotional responses to literary texts. For instance, in *Reading with Feeling* Feagin (1996) refers to psychological adjustments that take place while reading as 'mental shifts' (60) and uses the metaphor of changing gears to describe the way individuals shift into different psychological conditions in order to simulate what is going on in another person's mind. She employs the term 'simulation' (1996: 83) to describe how processes and activities are imitated, returning to Aristotle's *mimesis* and Oatley's use of the same term. Here simulation is seen as 'a success-term' (Feagin, 1996: 89) meaning that there are cases when it may go awry. This is the case if the reader's imagination 'is not up to the task' (89) or if there are deficiencies in beliefs in the

sense that the reader does not know how to respond to certain arising situations. According to Feagin, simulation is closely related to the readers' emotional response, and more specifically to their ability to empathise with fictional characters by simulating mental processes and activities. At the same time, empathising is an ability that can be exercised or neglected. Feagin believes that readers can empathise with fictional characters, who are not necessarily the protagonists, when they engage in mental activity which is structurally similar to the characters'. This may lead to the appreciation of the literary work. The role of literary empathy has also been investigated empirically. For instance, Kneepens and Zwaan (1994) refer to it when discussing fictional emotions, Miall and Kuiken has focused on in a variety of studies (e.g. 2002) and have also developed THE LITERARY RESPONSE QUESTIONNAIRE (1995) in order to measure, among other things, the role of empathy. Bourg (1996) looked at whether empathy enables better understanding of the text. Suzanne Keen in her book *Empathy and the Novel* (2007) conducted a series of interviews with readers investigating their empathetic responses. Finally, Oatley (2009; Mar, Oatley and Peterson, 2009) has conducted studies on the role of empathy and literary reading looking at the correlation between empathy and the readers' social abilities. The results of these studies point to the significant role emotion has on the engagement of readers with literary texts.

I mentioned previously that Oatley (1999a) has also used the term 'simulation' employing a metaphor from computer jargon. Rather than a mental shift, he prefers to see literary reading as a simulation which allows readers to model 'objects, their attributes, and the interactions among the objects in the story world' (1999b: 441). However, in order for it to work it is crucial that readers 'can get the whole thing to run-to imagine the story world with its people, and to become

absorbed in it' (1999b: 441, my italics). This idea of absorption in the story ties in with literary stance which in turn points towards a link with the individual's ability to construct intertextual connections. Oatley has investigated how readers connect with literary texts based on their identification with the protagonist and/or narrators. In the following section I will discuss how establishing intertextual connections can in turn result in the emotional connection of the reader with the literary text.

7.2.3 Emotion and intertextuality

The relationship between intertextuality and emotion has remained an unexplored issue with scarce references in literature. Neither literary theorists nor linguists have considered intertextuality in conjunction with the affective responses of the readers, though Barthes (1975) claims that the origins of emotions are texts themselves and that there are no emotions before textual descriptions of emotions: '[w]ithout the – always anterior- world of Book and Code no desire, no jealousy ... itself a lost origin, writing becomes the origin of emotion' (1975: 73-3). These lines reflect Barthes' idea of the *déjà lu* (see 1.2.2) and the author as a scriptor who merely 'arranges and compiles the already written, spoken and read' (Allen, 2000: 73). The main reason for this may be the fact that most literary theorists treat intertextuality as a property of the text, not thus encouraging explorations of its relationship with affective responses. Even critics who are more sensitive to the role of the reader like Genette and Riffaterre have not pointed to this direction. In linguistics, as mentioned before, intertextuality has largely been neglected, while scholars who investigate and test empirically the relationship between literary reading and emotion have also disregarded intertextuality.

On the other hand, the current approach to intertextuality has been grounded on the principles of cognitivism facilitating its connection with emotion due to the

intrinsic relationship between the two. I believe that the account of their relation will allow for a better understanding of 'how feeling is related to the cognitive mode of understanding', as Miall has claimed (2006: 71) and how background knowledge can influence the reading experience in an affective level. Moreover, it will enable us to investigate the extent to which feeling takes control of the reading process, for example by comparing the emotional responses of the readers before and after the construction of links.

7.4 The model

The current account is based on Oatley and Johnson-Laird's *Communicative Theory of Emotions* (1987, 1996) and Oatley's later distinction between *communication* and *reflection* (2010) with regard to the two movements of emotions firstly proposed by the Stoic philosophers. The basic assumption of Oatley and Johnson-Laird is that emotions are a type of internal or external communication. Their two principal functions are firstly to internally 'configure the cognitive system in a mode of operation' (Oatley, 2009: 206) that evaluates the relative priorities of goals, and secondly to act as an external communication, which serves as an adjustment of social relations. Therefore, internal communication reflects one's self-awareness while external communication one's social awareness. The idea of emotion as communication has also been expressed by the neuropsychologist Allan Hobson (1994). Hobson approaches emotion from the point of view of sleep and dreams claiming that we feel emotions even in our sleep. Similarly to Oatley and Johnson-Laird, emotion is seen as having a dual role: it carries information within the body and mind as well as messages to other people. Another important principle of Oatley and Johnson-Laird's claims is that emotions are appraisals of events in relation to one's goals. In other words, they arise after individuals evaluate the results of their

planned goals and they can be either euphoric or dysphoric depending on the outcome of the plans. When it comes to literary reading, Oatley remarks that in fiction emotions also ‘happen when events occur that relate to one’s goals, to those concerns that are important to one’ (Oatley, 1999a: 111). Readers experience certain emotions because ‘they signal situations that are personally important’ (Oatley, 1999a: 112). Oatley (1999a) suggests four psychological processes that result in readers experiencing certain emotions, namely identification with the protagonists of the literary texts, sympathetic feelings towards the story characters, to reliving autobiographical memories and simulation of the story world. Concerning the quality and authenticity of these feelings, Oatley states that even in the case of identification the emotions are the readers’ own.

My claim concerning intertextuality is that the construction of intertextual links can be linked to a particular type of emotional experience which results either from identifying the author’s intended meaning or from the readers’ personal memories. This reflects Oatley’s distinction between emotion as communication and reflection. In other words, intertextual connections can be seen as communicative acts which establish a link between the author and the reader or as a type of introspection of one’s self and own feelings. Concerning the communicative aspect of intertextual links, it can be said that intertextuality as communication of emotion is related to authorial intention and the degree of freedom that readers may have when creating intertextual frames. In the previous chapter, I claimed that apart from providing authors with added expressive power, intertextual fragments allow for the formation of an ‘association’ between the author and the reader and the sense that both partake in the same speech community. A distinction should thus be drawn between the types of the felt emotion depending on the intertextual frames that

emerge. Authorial presence is clearly manifested when quotations are introduced in the literary texts, especially when these are foregrounded through the presence of direct and indirect markers. To a lesser degree, it may be displayed through the use of elements that give rise to intertextually-built text worlds. One of the reasons authors employ these elements is to establish a relationship with their readership and potentially evoke their emotional response. Interestingly, Opdahl has made the following comment concerning Eliot's use of intertextuality:

Eliot bridged the gap between pure form and referential language by treating the named objects and patterns of literature as sources of emotion in themselves. He realized that that referential meaning of words creates emotion in its own right especially if the usual syntax is fragmented. If the painters would create emotion by form and colour, Eliot would create it by allusion.

(Opdahl, 2002:80)

Indeed, Eliot states in his essay 'Hamlet and his Problems' (1950) that there a 'set of objects, a situation, a chain of events which shall be the formula of that particular emotion' (1950: 100) upon which the expression of emotion in literary texts solely depends. Opdahl also includes the use of 'snatches of song or phrase or idea' (2002: 80) as sources of intertextual connections. The recognition of the intertextual fragment and the subsequent construction of the intertextual frame may result in the readers' emotional response. It can be suggested that individuals ascribe importance to the presence of intertextual elements because these may be seen as attempts from the part of the author to reach out to them and to create a sense of alliance.

If this is successful, readers are likely to experience a psychological process similar to Oatley's *identification*. Nevertheless, in this case it is suggested that the first step occurs between the reader and the author, whose goals are adopted by the former, facilitating the subsequent experience of any emotions that the use of the

intertextual fragments entails. According to the *Communicative Theory of Emotions*, both these types of emotions can be considered as cognitive appraisals of the goals of both the author and the readers. More specifically, readers experience emotions because they recognise the authorial intention on the one hand and on the other, because this recognition leads them to identify with the author and simulate any possible feeling transmitted through the use of the intertextual fragment. Therefore, the emerging emotions should be seen as a form of communication: intertextual elements are employed in order to engage readers with texts and they subsequently assume a role similar to foregrounding in stirring up emotion (for example, see van Peer, 1986). As far as Oatley's analysis of emotions into two movements is concerned, these types of emotions are associated with the first movement, which refers to the initial, more superficial state of awareness of the emotional experience. The reason for this, as Ekman (1992) has suggested, is that they are partially involuntary, since they arise through the identification with the authorial intention.

Readers experience more intense emotions and may become more emotionally involved with the literary text if they manage to move past this first stage to the second movement of emotions. According to the Stoics and Oatley, such movements 'prompt thought ... first of all in a directed and local way, but then perhaps towards ... wider contexts' (Oatley, 2010: 31). In other words, readers are more likely to appreciate the intertextual connection when they go past the feelings arising from the identification with the authorial intention and investigate the broader significance of the intertextual link. At this point, Oatley's notion *reflection* comes into play. Reflection refers to the evaluation of the situation that gives rise to the emotions and to the implication of the emotion on the readers. Both thematic and stylistic intertextual frames may trigger the second movement if readers investigate

the implications of the intertextual connection for the reading experience. Nevertheless, semantic intertextual frames are more likely to give rise to the second movement of emotion because they are associated with more idiosyncratic intertextual connections, since readers do not base the link on elements that bear 'the mark' of the author. Rather, as mentioned in Chapters 4 and 6, they are based on the readers' cognitive models formed by their memories, reading experiences and impressions. In terms of the communicative aspect of emotions, the first movement is here seen as communication with one's self rather with the author. With regard to the psychological processes that result in the reader experiencing emotions in fiction, semantic frames are more likely to give rise to more personal memories, similar to *autobiographical memories*, which also has strong ties with *reflection*. The idiosyncratic and personal nature of the link reflects an interaction with one's private readings. Due to this introspection, the second movement of emotions is prompted allowing readers to experience what the Stoics have considered the real emotion (Oatley, 2010). In other words, it is during the second movement that feelings that go beyond the authorial intention arise, bearing a significant effect on the literary experience. Finally, it should be stressed that Opdahl has made a similar distinction concerning the way emotion manifests itself, either as a reaction to certain stimuli or as a mental representation, as 'the medium within which we construct and display our internal, imagined experience' (Opdahl, 2002: 9), mirroring the distinction between communication and reflection. When authors incorporate intertextual elements in their texts, they attempt to communicate certain emotions and trigger a similar reaction from their readers. We can thus talk about the expressive aspect of emotion, which provides voice to one's immediate feelings. On the other hand, when readers form semantic frames, emotions reflect their own personal experiences.

Consequently, the relationship between intertextuality and emotion can be defined in two levels: the first level refers to the identification with the author, while the second one refers to the feelings triggered by the use of intertextual link. If the frames are stylistic, then the identification with the author may lead readers to experience the emotions that authors intended to be prompted by intertextual element. The same can be suggested for the topical frames, where the construction of intertextually-built text worlds and the feeling towards the characters may be influenced by the authors' intention. Conversely, the emotions triggered by the construction of semantic frames reflect the readers' unmediated emotions. Let us now consider how intertextual frames give rise to emotions by looking at specific examples from literary texts. For this reason, I would like to go back to Eliot's *The Waste Land* (1922) and examine instances of intertextual frames and the possible emotional effect they may have. For example, in previous chapter I referred to the use of the embedded quotation 'Those are pearls that were his eyes' which triggers the creation of a stylistic intertextual frame containing the reader's knowledge concerning the use of this line in Shakespeare's play as well as the current context. When the frame is constructed, it is likely that the first movement of emotion will surface, namely the identification with the author. The initial identification of the quotation may strengthen the alliance with the author, while if a second movement of emotions takes place, readers may investigate their feelings more thoroughly and search for a more personal response to the use of quotation that sustains, though, the established communication with the author. In this particular example, readers can transfer elements from *The Tempest* and Ariel's song 'Full fathom five thy father lies' (I, ii, ll. 400-8), known for its strong cultural and emotional resonance, as well as their own emotional responses to the description of the scene with the medium.

Their personal response may include feelings of melancholy, grief, or sorrow, intensifying thus the gloom atmosphere. These feelings will emerge through the process of reflection and the readers' response to the use of the particular quotation.

In addition, a similar use of quotation can be observed in the concluding line of 'The Burial of the Dead', where the poetic persona addresses the readers directly, i.e. 'You! Hypocrite lecteur— mon semblable, —mon frère!' (l. 76). This is a direct quotation from Baudelaire's 'Au Lecteur' from the collection 'Les Fleurs du Mal' (1857), '— Hypocrite lecteur, — mon semblable, — mon frère!' (40), with the addition of deictic personal pronoun 'you'. The stylistic intertextual frame will once more include elements from the text and Baudelaire's poem borrowing the sinister quality of the latter and transfer it to Eliot's lines. On condition that readers go past the first movement, they may experience a feeling of discomfort and uneasiness, as a result of the use of the quotation. This feeling ties with and reinforces the disquiet caused by the previous lines: 'That corpse you planted last year in your garden,/ Has it begun to sprout?/ Will it bloom this year?/ Or has the sudden frost disturbed its bed?/ Oh keep the Dog far hence, that's a friend to men,/ Or with his nails he'll dig it up again!' (ll. 71-5). This is again possible as a result of reflecting. Nevertheless, the two movements of emotions can also provide an explanation as to why readers do not become engaged with intertextual elements. When it comes to quotations, this can happen when there are instances of transcoding (6.2.1) and quotations are in languages other than the literary text itself. In *The Waste Land*, the quotation from Baudelaire is such as instance, while another such example may be the epigraph written in Latin and Greek. Assuming no knowledge of these languages, no intertextual link can be established and thus no emotions can be experienced. However, the presence of transcoded quotations may result in the emergence of

negative emotions on the readers' part if they are not familiar with the language in which the quotation is written. Readers may feel excluded and consider the incorporation of the quotation as an attempt of the author to distance himself or herself from the audience. Therefore, detachment from the text and annoyance towards the author may be experienced, affecting negatively the reading experience and even resulting in the rejection of the literary text.

Eliot's poem includes numerous textual elements that can potentially give rise to stylistic intertextual frames. Topical intertextual frames can also trigger the readers' emotional response in two movements. If we return to the analysis of Carol Ann Duffy's poem 'Mrs Faust' (1999) in Chapter 5, it can be suggested that the first movement is again the communication with the author that triggers the identification with the authorial intention and the engagement with the literary texts. The second movement of emotions is related to the construction of the intertextually-built text world and the feelings that emerge concerning the protagonist, in this occasion Doctor Faust. Based on the topical frame and their knowledge of Marlowe's play readers may experience feelings towards the characters or the situations described, which may either be in accordance with their previous view of the characters, or challenge them. For example, Duffy's poem focuses on the wife, who assumes a lot of the features of her husband's behaviour and becomes assimilated with him. On the other hand, Doctor Faust is underrepresented and drawn in bleaker colours. Consequently, readers are likely to trace and feed only negative feelings in the poem disregarding any sympathy they may have for Marlowe's more complex character. In the other poem analysed in the same chapter, Yeats' 'Leda and the Swan' (1923), readers' previous views seem not to be challenged. For example, any pre-existing

feelings of sympathy towards Leda are not challenged and thus may surface in the second movement.

As I mentioned above, semantic intertextual frames differ in terms of the first movement, which is seen as communication with their private cognitive models rather than with the authorial intention. Therefore, once the intertextual frame is established the movement towards reflection is facilitated due to the introspective nature of the link. If we consider the link established between 'Aunt Jennifer's Tiger' and 'The Tyger', it can be suggested that the creation of the semantic frame may ease the readers' emotional response. Readers may transfer to Rich's poem their feelings of Blake's work, where the predator exerts feelings of reverence and awe. Thus, these can be mirrored on Rich's tigers highlighting the juxtaposition with the feelings that Aunt Jennifer's persona yields, as an obedient and 'domesticated' creature. The effect of these frames is also powerful when it comes to the recognition of literary or mythological entities. I have already pointed out that individuals tend to experience particular emotions and feel strongly for characters. Creating a semantic frame based on the cognitive models triggered by such a lexical concept can trigger the feelings to resurface. For instance, the reference to Polonius in 'The Love Song of J. Alfred Prufrock' can trigger any pre-existing feelings towards this character. The persona identifies himself as:

... an attendant lord, one that will do
To swell a progress, start a scene or two,
Advise the prince; no doubt, an easy tool
Deferential, glad to be of use,
Politic, cautious, and meticulous;
Full of high sentence, but a bit obtuse;
At times, indeed, almost ridiculous—
Almost, at times, the Fool.

T.S. Eliot (1917, ll. 112-9)

Readers may react to this statement according to their personal view of Polonius. They may feel sympathy towards him due to his weakness and narrow-mindedness or they may have more negative feelings due to his officious and manipulative nature. These feelings will be introduced in the semantic frame and then will be mirrored on the poetic persona. It is interesting that the poem itself appears to support both views representing Polonius both as ridiculous, 'a bit obtuse' and 'politic, cautious ... full of high sentence' (ll. 116-7) allowing readers to possibly activate their personal view of the old courtier.

7.5 An empirical study of intertextuality

So far, the discussion of intertextuality has remained theoretical with an emphasis on a descriptive approach to the ways readers form intertextual connections. In this section I will present and discuss a short empirical study that was conducted in order to investigate the readers' experience of a particular text in terms of the intertextual frame created and the role that feeling may have in the literary response. Miall (2006) has stressed the need for cognitive poetics 'to carry out empirical study to help verify its proposals' (2006: 3). He has also stressed the need for consideration of the role of emotion in the reading experience within cognitive poetics. He notes that what is missing from cognitive poetics 'is an overall theory of the role that feeling plays in the process of literary reading' (45) and 'feeling is treated as a subsidiary effect, an epiphenomenon occurring in the interspace of cognitive processes being described' (45). Stockwell's more recent work (2009) has placed more emphasis on emotion, and more particularly on empathy. His work focuses on the cognitive linguistic aspects of emotion generation, either in terms of cognitive grammar, or experiential metaphors such as world-switching between worlds.

The study that will be presented here investigates the creation of intertextual links and how the knowledge that readers bring in the text can influence their emotional response to the story. Before I move on to the description of the study and the findings, I will provide a short summary of previous empirical studies that aimed at exploring different aspects of intertextuality.

7.5.1 A review of previous studies on intertextuality

There are a number of studies looking at how intertextual connections are created across texts. The vast majority of them have been published in books or journals associated with educational and classroom research. Interestingly, the studies seem to adopt a broad outlook of the notion expanding their research beyond literary texts and looking at how social and political ideologies affect the reading process.

Shuart-Faris and Bloome (2004) identified three areas of research with regard to the use of intertextuality in classroom and educational research: cognitive-processing research, socio-psycholinguistic research, and research on the social processes in education. Cognitive-processing research is seen as the initial influence of classroom research on intertextuality and more specifically theories of text-processing, such as Kintsch and Vipond's (1979) investigation of the role of cohesion in the understanding of a given text. Goldman (2004) presented a study where adolescent readers were explicitly asked to comment on historical texts created by fictitious authors. The aim of the study was to examine the combinations of the texts occurring in the interview data with the students, which were treated as forms of intertextual connections. Hartman (e.g. 1995, Hartman and Hartman, 1993) has also focused on how readers relate ideas across various texts. In Hartman (1995), eight readers were asked to read five passages from a range of sources including literary anthologies, textbooks, historical and literary periodicals and comment on the

connections they made with other texts. The results pointed to the identification of two types of linguistic textual environments to which readers made reference: the primary endogenous and secondary endogenous context. The former refers to connections constructed within the texts, while the latter refers to connections constructed between the texts.

With regard to socio-psycholinguistic approaches, Short (1992) has researched intertextuality in relation to the social relationships operating in classrooms and observed the ways first-graders responded to each others' intertextual ties. Short focused her attention on the notion of literature circles as a means of examining intertextuality, studying small discussion groups of four to five students and one teacher who share their reading of literary texts. A similar approach has been adopted by Bloome and Egan-Robertson (1992), who presented a micro-analysis of one 15-minute lesson focusing on three students using three levels of analysis very similar to Fairclough's approach (1992a). A study with a similar rationale was conducted by Shuart-Faris (2004) but the use of intertextuality served as a tool for problematising ideological constructs. Finally, Kamberelis and Scott (1992) examined how students' writing is saturated with intertextual links, though again the social and political ideologies were mostly in the spotlight rather than the literary aspect of the texts. Beach and Anson's interesting paper (1992) looked at the other side of the spectrum, namely how writers of teachers' journals constructed intertextual meanings.

Intertextuality has also been studied in the EFL context. Chi (e.g. 2001, 2010) has conducted a number of studies looking at how Taiwanese college students employ intertextual talk and how this talk can help them learn English as a foreign language. Based on the data Chi suggests that students draw on various resources

including among others printed material, electronic texts and life experiences in order to form intertextual links. The findings also point to the idea that participants gain confidence in their individual interpretation and become more open to the possibility of multiple interpretations.

It appears from this brief overview that a large number of empirical studies on intertextuality have been directed by a rationale for investigating social relationships in the classroom setting. There are however a few scholars that have concentrated on the literary aspects of intertextual connections, focusing on the construction of links across literary texts. For example, Cairney (1990) interviewed primary school students in order to find out whether they use their previous textual experiences when writing their own stories. In another study by Chi (1995) ten proficient Taiwanese college students were asked to read 'A passage to India' (1990) and 'The Discus Thrower' (1977) written by Oliver Sachs and Richard Selzer respectively. Then they gave verbal responses while reading the texts individually and this was followed by an interview during which they were asked whether they had thought of other stories. According to Chi, the most significant finding was that participants linked the stories with resources similar to those mentioned in previous paragraph. However, there is no particular reference to any intertextual links that they constructed with other literary texts. More recently, Ensslin (2004) followed an approach similar to Cairney's and designed a project which aimed at establishing the hypertext-based literary teaching environment. This project was designed to address the needs of an undergraduate German creative writing classroom and it was divided into a theoretical and applied section. In the latter, participants were involved in creative writing and the learning outcomes were measured in terms of written data.

The overview of the studies shows that the focus so far has largely been on the web of sources that readers draw on when reading texts. Another remark is that, although literary texts have been used, the emergence of intertextuality has not been examined in relation to the stylistic features of the texts. Contrarily, it has remained in a more superficial, macro-linguistic level browsing through the variety of texts that come to influence the emergence of the links. Therefore, the aim of the study I will present in the following section is to look closely at how intertextual links are created in a literary text and the implications this has on the reading experience and the readers' emotional involvement with the text.

7.5.2 The study

As we saw previously, studies on intertextual readings did not concentrate specifically on literary aspects of the established connections. The purpose of this study is to specifically examine the responses of readers to a literary text. Moreover, the intertextual connections will be discussed in terms the readers' intertextual knowledge, rather than more extensive connections, as was the case in the other studies. Another significant aim of the study is to investigate the relationship between the construction of the intertextual link and the readers' emotional response to the story. Overall, the aims of the study can be described as follows:

- 1) To examine whether an intertextual link is constructed;
- 2) To assess the quality of the frames in terms of the notion of intertextual texture and their impact on the literary experience;
- 3) To investigate whether the construction of the intertextual frame affected the readers' emotional response to the text.

7.5.3 Methodology

7.5.3.1 Participants

Forty first and second-year students from the School of English Studies of the University of Nottingham participated in the study, and they received either experimental credit or £4 inconvenience allowance for participating. All participants were native speakers of English (average age 19).

7.5.3.2 Material

The literary text selected as the source text for the study was Jorge Luis Borges' 'La casa de Asterion' (1949) translated into English as 'The House of Asterion' (see Appendix 3) by Antonios Sarhanis. The story was selected for a variety of reasons. Firstly, its short length would allow readers to read it swiftly and report accurately their thoughts and feelings and the effects of the stylistic choices. The story is remarkably short consisting of 927 words in the English translation. Moreover, another prominent reason is related to the way an intertextual link may be constructed, as I will now explain. The title and the cryptic direct unintegrated quotation 'And the queen gave birth to a son named Asterion.' stating its source as: 'Apollodorus, *Library*, III, I' give an initial direction towards the topic of the story. As readers start reading the story, they are introduced to a first-person narrator, presumably Asterion himself, and his thoughts. The first sentence has particular resonance due to its content but at the same time it serves another purpose, namely to distance readers from the narrator; his statement that he is accused of arrogance, misanthropy and madness may lead readers to adopt a cautious and sceptical stance towards him.

The first-person narration unfolds as a stream of consciousness and it immediately becomes clear that readers encounter a persona, whose world is

puzzling and confusing. The narrator does not offer many clues about his identity, apart from acknowledging his royal descent and asserting his uniqueness a number of times. However, there are also various unsettling statements which progressively create a bleak atmosphere. The narrator seems to be confined in his house, which has no furniture and its doors are always open. Moreover, his sole venture to go outside caused panic amongst the 'common' people, a fact that he attributes to his royal descent. As the monologue continues, a composite picture of Asterion is drawn. He seems to be at the same time arrogant, knowledgeable, lonely and fragile. He scorns the ability to write only to admit immediately that he regrets not being able to read as the days and nights are long. Instead, he entertains himself in rather unsettling ways: he runs through the corridors of the house and falls off the rooftops until he bloodies himself, or he pretends he is showing the house to a guest. Apart from these childlike games, Asterion presents himself as a seer and a mystic, who meditates and delivers from evil those who enter his house. Nevertheless, it appears that the fate of these people is much darker as they fall dead within minutes. At this point, the narrator's fragility manifests itself; he wishes for his redeemer to appear and take him to a place 'with fewer galleries and fewer doors'. Interestingly, the text simultaneously becomes fragmented, the short sentences take the place of the paragraphs, while the first-person narration is interrupted and replaced with a third-person narration. It is through this narrative mode that the readers form a complete picture of the events described and find out in the very last words of the short story that Asterion was in fact the Minotaur.

This story was selected for this particular aspect, namely the vagueness concerning the nature of the narrator and the revelation that comes at the very end of the story and forces readers to re-evaluate their reading. The mythological references

were expected to facilitate the construction of intertextual link and the final shift was expected to be striking enough so as to prompt readers to evaluate the role of their background knowledge and comment on it without further prompting from the part of the interviewer.

7.5.3.3 Assessment materials and procedure

Readers were run singly in the Psycholinguistics Laboratory of the School of English Studies of the University of Nottingham and they were not informed about the purpose of the study. Nevertheless, they were given a general orientation: 'This study aims at investigating the ways readers respond to particular narrative modes'. The study was designed following the rationale of a mixed methods design having two components, a quantitative and a qualitative one, with concurrent selection of data. In the quantitative phase, the participants were asked to fill in a questionnaire. This was followed by the qualitative phase, where the participants took part in a semi-structured interview. As Dörnyei (2007) notes, concurrent designs allow us to examine a phenomenon that has several levels, and also look at the micro-perspective of how individuals perceive it. The complexity of intertextuality and the importance of the readers' role that has been maintained throughout the thesis determined a study design that would go beyond quantitative data and look at how individual readers responded to the construction of intertextual links.

Initially, participants were asked to read Borges' short story from a double-sided print-out (Appendix 3). It was stressed that they could read at their own pace and should try to enjoy the story rather than anticipate the questions that would follow. Subsequently, they were presented with a questionnaire and answered three sections of questions (Appendix 4). The first section aimed at distinguishing between the participants who had realised the true identity of the narrator and had thus

constructed the intertextual link. This was a first step that would allow us to examine whether an intertextual connection had been created and how it influenced the reading experience. The readers had to answer a Yes/No question about whether they realised that Asterion was in fact the Minotaur. The subsequent responses of those who gave a negative reply were excluded from the quantitative analysis, since they had not created an intertextual link and thus, their reading had not changed in this respect.

The second set of questions was related to their reactions to the story, the feelings towards the narrator before and after the revelation and their evaluation on the way that this shift had affected their reading experience. Each item in this part of the questionnaire consisted of an evaluative comment on the story. Some of the items were negatively worded in order to ensure that the responses ranged across the whole rating scale. The items were also mixed up and presented in a haphazard order to create a sense of variety and avoid repetition of previous answers. Readers were asked to choose a response from a five-point scale labelled from 1 (Strongly Disagree) to 5 (Strongly Agree). The items are shown in Table 7.1 grouped according to category. Finally, the third set of supplementary questions aimed at investigating aspects of the reading experience, namely the degree of mental effort they put when reading the story and how engaging they found it. A last question asked them to evaluate their knowledge of the ancient Greek myth.

The first variable pertained to whether the realisation changed the reading experience; high agreement with these questions indicated that the reading was affected by the shift. The last question in this group was negatively worded so in the data analysis the results were reversed, i.e. 'strongly agree' was given a value 1 and 'strongly disagree' a value 5. It was anticipated that the readers who constructed the

intertextual link would be sensitive to the change that occurred at the end of the story and thus high agreement responses were expected. In addition, the second variable pertained to the improvement of the literary experience due to the construction of the intertextual link. In general, the questions focused on the enrichment of the reading experience and the enjoyment of the story after the construction of the link. A correlation between the improvement and the change variables was also expected.

Table 7.1 Questionnaire items by variable

Variable	Questions
<i>Change in reading experience</i>	<ol style="list-style-type: none"> 1. The realisation that the narrator was the Minotaur altered my reading. 2. The word 'Minotaur' activated knowledge that changed my interpretation of the story. 3. My knowledge concerning the Minotaur changed the way I saw the narrator. 4. Realising that the narrator was the Minotaur did affect my reading. 5. The way I saw the narrator did not vary throughout the story.
<i>Improvement through change</i>	<ol style="list-style-type: none"> 1. Realising that the narrator was actually the Minotaur helped understand the story better. 2. My reading became richer at the end (another perspective was added/ became apparent, another level of meaning was added). 3. The point of the story was clearer after identifying the Minotaur. 4. I enjoyed the story more after the realisation. 5. I believe that the link between Asterion and the Minotaur contributed to the literary quality of the story.
<i>Attitudes toward the Narrator</i>	<p><u>A. Before the realisation</u></p> <ol style="list-style-type: none"> 1. I felt sympathy for the narrator before the revelation. 2. I couldn't engage with the story before making the connection with the Minotaur. 3. I felt less strongly for the narrator before making the connection. 4. At first the narrator provoked feelings of pity and misery. <p><u>B. After the realisation</u></p> <ol style="list-style-type: none"> 1. At the end my feelings towards the narrator were positive. 2. At the end I still considered the Minotaur a monster.

- | |
|---|
| <ol style="list-style-type: none">3. I felt pity for the narrator after realising he was the Minotaur.4. I felt no pity after realising his true identity. |
|---|

The third composite referred to the attitudes readers had towards the narrator before and after the revelation. The items were worded to measure the degree of empathy readers may feel towards the narrator. High agreement responses would reflect the participants' emotional involvement with Asterion, while low agreement would reflect lack of this type of feeling probably due to the obscurity of the text and his various statements that make him seem arrogant or unbalanced. The results of second and the third question were reversed in the data analysis in order to for the variable to consistently measure attitudes towards the narrator. The second part of the third composite was related to the feelings towards the narrator arising after the construction of the intertextual link. The hypothesis is that the emerging intertextual knowledge that would affect the readers' emotional response. High agreement responses indicate that the intertextual frame allows the readers to change their preconceptions of the Minotaur as a monster and attribute to him human qualities. In this case the text's final focus on the Minotaur's solitude would be playing an important role in influencing the reading. On the other hand, low agreement responses signify that the readers' preconceptions are dominant. In other words, their previous feelings and attitudes towards the Minotaur's destructive and gruesome qualities enter in the intertextual frame and influence their emotional response towards the narrator. In this variable, the results of second and the last question were reversed in the data analysis to guarantee measuring of the same target, in this case the emergence of positive feelings towards the narrator/Minotaur at the end of the story.

In the third section of the questionnaire, participants were asked to respond to three questions concerning their engagement with the text, the mental effort they put in reading and finally the background knowledge of the myth. The questions were again in the form of a five-point scale, but this time, instead of a Likert scale, semantic differential scales were used ranging from 'very engaging', 'a lot of mental effort' and 'very specific (knowledge)' to 'not at all engaging', 'no real effort' and 'very vague (knowledge)' respectively. The knowledge question would provide an index of the extent of the readers' familiarity with the myth and allow us to compare how their knowledge affects the reading experience.

The quantitative investigation of whether the different parameters I have identified correlate with each other is conducted analysing the results for statistically significant correlations. The critical level for this study is set at 5% ($\alpha = .05$), allowing for results with p values of less than .05 to be statistically significant.

After the readers completed the questionnaire, a semi-structured interview was conducted with an aim to focus more on the way the intertextual link is constructed and investigate its effect on the reading experience. A semi-structured design was preferred, as it offers the opportunity to the interviewers to provide guidance and focus on specific topics of interest. At the same time, it allows participants to elaborate on certain issues as well as interviewers to follow up any interesting developments. This feature of semi-structured interviews is particularly important when it comes to gaining more insight into the participants' feelings towards the narrator, as they could be more vocal and elaborate on their previous responses from the quantitative component. Another important factor is that it is possible to 'quantitise' (Tashakkori and Teddlie, 1998) the data through the processing of coding and seek patterns and commonalities in the participants'

answers, a crucial operation in mixed methods studies according to Tashakkori and Teddlie. The set of questions can be seen in Appendix 5. The interviewer asked all the questions to each participant, though in some cases the wording and the order were different and some supplementary probes may have also been offered. The answers were recorded and their transcriptions are available in Appendix 6. Finally, the answers of two sets of questions from the qualitative component were given to an independent researcher from the School of English Studies of the University of Nottingham. The researcher was asked to score the answers and produce numerical scales that would allow the quantification of the data. The choice of an independent researcher was made in order to ensure the reliability of the coding.

7.5.3.4 Results and discussion

Since this was a mixed methods study combining qualitative and quantitative data, the presentation of the results will rely equally on both types of data. The qualitative data were coded and the patterns in the responses were investigated. With regard to the first aim of this study, namely whether an intertextual link is constructed, 25 participants (62.5 %) indicated in the first section of the questionnaire that they had identified Asterion with the Minotaur at the end of the story. This demonstrates that a link between the text and the readers' background knowledge was created. The responses of the 15 participants who did not make the identification, and thus did not construct the intertextual link were excluded from the quantitative analysis. A further reason for this exclusion was that the responses in the second section may have been influenced by the question in section one and would not reflect their original attitudes towards the narrator. With regard to the type of frame that emerges, it can be suggested that it depends greatly on the individual reader's ability to relate textual information with his/her intertextual knowledge. The text itself provides a number of

lexical items that can serve as primary entities (e.g. Theseus, Ariadne and the Minotaur) and function-advancing propositions that would enable readers to construct a topical frame. However, as it will be discussed in detail, the data demonstrated that not all readers traced these elements and the texture of the emerging frames varied in quality.

Nevertheless, it is important to go beyond this first indication and look more closely at the effect of the link. More specifically, this study also aimed at clarifying another aspect of intertextuality that has been pointed out in this thesis, namely the quality of the intertextual connection and how this may affect the reading experience. For this reason, I wish to return to the notion of intertextual texture introduced in Chapter 3 (3.5.6.2). According to this, the readers who made the connection between the Minotaur and Asterion exhibited the text-driven criterion of distinct specificity, since they were able to point to a particular text as the origin of the link. It should be stressed, however, that in this particular case I use the term 'text' more loosely to describe the cultural knowledge related to mythology that readers may possess. There were a number of questions in the qualitative component which aimed at providing more insight into the ways the participants constructed the intertextual frame. The participants were asked whether they had skimmed through the texts after finishing reading the story and whether there were any textual elements that contributed to the construction of the myth of Minotaur (see Appendix 6 for their responses). This question served as a means for investigating whether intertextual chaining is taking place, as this was described in Chapter 4 (4.5.4.3). Since the link emerged at the end of the story and readers had to trace previously occurring elements and incorporate them in the frame, this type of chaining is termed cataphoric intertextual chaining. 62% of the participants claimed that they skimmed

through the story, and some of them claimed that they paid additional attention to the last paragraph about the nine men entering the labyrinth. A possible explanation is that this paragraph can be seen as the most direct and concrete reference to the myth once the frame has been constructed describing the sacrifice of Athenian youths. So, readers employ the newly constructed frame and re-interpret the meaning of this paragraph using their background knowledge. In the related question of whether there were textual elements that helped them re-construct the myth, the answers depict great discrepancy. A scale of their responses was produced by another researcher. The responses were given a score from 1 to 5 (1 being the minimum and 5 the maximum) according to the degree of concreteness and the degree of detail and they are shown in Chart 7.1. As can be seen in the chart, there is a strong connection between the degree of detail and the concreteness of the participants' replies. Participants who gave extensive accounts of the elements they used to construct the myth could also bring to mind specific details from the myth, and vice versa. Participants P8, P11, P14, P6, P13 and P9 belong to the former group, while P24, P1, P31, P38 and P10 to the latter.

According to the data, a number of them seemed to have constructed a rather impressionistic frame and they did not point to any specific textual elements. For example, participant P31 has stated that the passage describing how 'he was running around' reminded her of the myth. Similarly, participant P24 stated that 'the dark place and that he was rarely coming out', while participant P10 commented on the galleries of stone which reminded him of ancient Egypt and Greece. All these elements have a 'background' connection with the myth of the Minotaur in the sense that they carry a less concrete and more impressionistic outlook to it. They do not

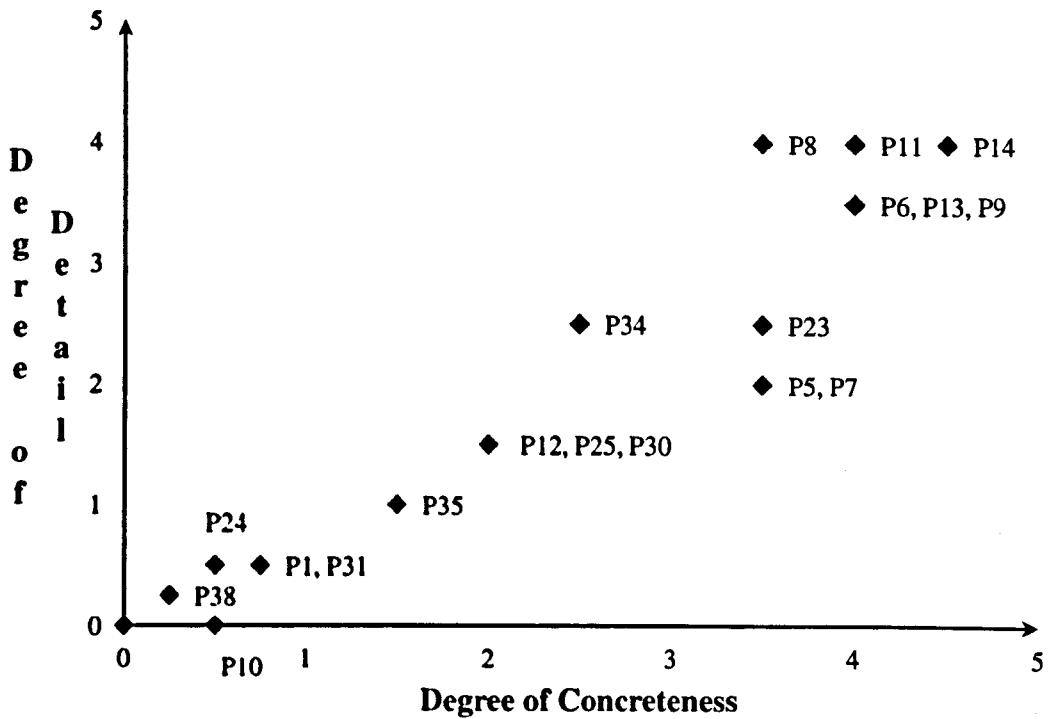


Chart 7.1 Participants' responses concerning textual elements that aided them to construct the frame. Participants P4, P17, P18, P20, P29 and P32 are placed in the origin of the axes.

highlight other important aspects of the myth that are present in the short story, such as Theseus or the nine men. On the other hand, other participants pointed to particular elements and entities. For example, participants P6, P13 and P14 included the references to Theseus and Ariadne and the nine men as the elements that helped them reconstruct the myth. This type of connections brings us back to the text-driven criterion of *textuality*. The intertextual connections of participants P24, P31 and P10 are characterised by weak textuality, as they did not point to specific elements of the story, whereas these of P6, P13 and P14 are characterised by strong textuality. It can be suggested that these participants also exhibited successful intertextual chaining.

When it comes to the readerly-driven criteria, the criterion of resonance is not applicable in this case because the link occurs at the very end of the story. Nevertheless, granularity can be accounted for in terms of the knowledge of the

accessed text that the participants activated. Participants were asked to report the mythological elements they recalled and brought to their reading (see Appendix 6). These responses were scored by an independent researcher in a scale from 1 to 3 according to the amount of knowledge of myth. 1 was used for no to minimal knowledge, 2 for basic knowledge and 3 for accurate knowledge of the myth. Table 7.2 presents the categorisation the responses.

It was observed that the elements recalled varied greatly across the participants. A number of them (28%), such as P5, P10 and P25, could remember the myth very precisely and gave detailed descriptions referring to Knosos, Theseus and

Table 7.2 Participants' knowledge of the myth

No/Minimal Knowledge	Basic Knowledge	Accurate Knowledge
P8, P14, P18, P20, P30, P31	P1, P4, P6, P7, P11, P13, P17, P24, P29, P32, P39	P5, P10, P12, P23, P25, P34, P35

the reason he had to kill the Minotaur, the role of Ariadne and finally the tragic outcome of the journey back to Athens. As a result, the intertextual frame is considered to have high granularity. On the other side of the spectrum, 24% of the participants had vague knowledge and were aware solely of the monstrous nature of the Minotaur. For example P8, P9 and P14 stated that they did not remember much from the myth apart from the Minotaur being a monster which should be locked away. Thus, the granularity of their frames is described as low. Nevertheless, the majority of the participants (48%), such as P6, P7 and P29, can be situated in the middle of the spectrum having activated basic constituent elements of the myth, namely the Minotaur, Theseus and the ball of string given to the hero in order to find his way out of the maze.

The effect of the knowledge of the myth has on the reading experience can also be seen in the quantitative component. As mentioned above, the criterion for statistical significance is set at $p < .05$. Results that reach the higher significance level $p < .01$ will be noted as well. Since the number of participants who constructed the intertextual link was $N = 25$, the number of degrees of freedom is $df = 23$, and these levels of significance correspond to $r > .396$ and $r > .505$ respectively.

The correlation between the composite variable CHANGE measuring the change in the reading experience as a result of the intertextual link and the participants' knowledge of the myth was calculated. Table 7.3 presents this relationship as well as the correlation of the latter with the individual items. An analysis using Pearson's correlation coefficient showed that there is a positive correlation between the readers' knowledge of the myth and experiencing a change in the interpretation of the story ($r = .476$, $p < .05$), as it is shown in Table 7.3. In other words, the richer and more accurate the readers' knowledge, the more they reported that the presence of the Minotaur altered their reading experience and aided the creation of a link between the two stories. This supports the view maintained throughout the thesis concerning the fundamental role of encyclopaedic knowledge in the emergence of intertextual links.

Table 7.3 Correlation between knowledge of the myth and change in the reading

		CHANGE	Alteration	Knowledge	Change	Realisation	Variation
knowledge of myth	Pearson	.476*	.136	.491*	.320	.465*	.157
	Correlation						
	Sig. (2-tailed)	.016	.516	.013	.120	.019	.454
	N	25	25	25	25	25	25

*. Correlation is significant at the 0.05 level (2-tailed).

The quantitative data offer a further insight into the effects of the construction of the intertextual link. In particular, Table 7.4 shows a positive correlation between the composite variables CHANGE and IMPROVEMENT ($r = .499, p < .05$). It appears thus that the construction of intertextual frames is likely not only to change the readers' perspective toward the narrator and the story but also to have a positive impact on the literary experience as a whole. Participants seem to consider the new direction offered by the link as a positive element adding quality to the reading. In particular, it is interesting to note the significant correlation between the items 'The word 'Minotaur' activated knowledge that changed my interpretation of the story' and 'Realising that the narrator was actually the Minotaur helped understand the story better', $r = .508, p < .01$, pointing to the interrelation between the activation of knowledge and the better understanding of the story. A similar observation can be made for the former item and the 'The point of the story was clearer after identifying the Minotaur', where a stronger correlation is found ($r = .561, p < .01$). This seems to support a connection between the degree of activated knowledge and clarity of the story. The participants who brought to mind more detailed background knowledge perceived the story with more clarity. This is also reflected in the strong correlation between composite variable CHANGE and the 'clarity' item, $r = .583, p < .01$. Therefore, a relation between the construction of the intertextual link and more transparent and lucid readings can be observed.

Returning to the qualitative data, a number of participants have commented on this adjustment and the positive effects it had on the reading experience. There were a numbers of comments on its vagueness and the enigmatic nature of the narrator but the construction of the intertextual link seems to lift away the obscurity

Table 7.3 Correlation between Change and Improvement

	CHANGE	Alteration	Knowledge	Change	Realisation	Variation
IMPROVEMENT	Pearson Correlation	.499*	.569**	.158	.403*	.141
	Sig. (2-tailed)	.011	.003	.451	.046	.502
	N	25	25	25	25	25
Enjoyment	Pearson Correlation	.358	.469*	.134	.419*	-.057
	Sig. (2-tailed)	.079	.018	.522	.037	.787
	N	25	25	25	25	25
Better Understanding	Pearson Correlation	.389	.508**	.121	.204	.167
	Sig. (2-tailed)	.055	.010	.564	.328	.426
	N	25	25	25	25	25
Clarity	Pearson Correlation	.583**	.561**	.272	.476*	.278
	Sig. (2-tailed)	.002	.004	.188	.016	.179
	N	25	25	25	25	25
Richness	Pearson Correlation	.376	.389	.154	.268	.103
	Sig. (2-tailed)	.064	.035	.462	.196	.625
	N	25	25	25	25	25
Contribution to quality	Pearson Correlation	.083	.122	-.116	.102	-.024
	Sig. (2-tailed)	.694	.562	.580	.629	.911
	N	25	25	25	25	25

** . Correlation is significant at the 0.01 level (2-tailed).

* . Correlation is significant at the 0.05 level (2-tailed).

of the short story. For instance, participants P12 and P14 have respectively offered the following comments:

'It was very vague and mysterious, like a riddle, and it made more sense afterwards. I enjoyed reading it and the narrator was engaging and unique.'

'I found it very confusing at the beginning and I enjoyed it a lot more at the end when I realised that he was the Minotaur. The story moved from vagueness to clarity'.

Interestingly, the lack of coherence and lucidity and the constant contradictions urged some of the participants to read the story at a metaphorical level, as participant P6 notes:

'I enjoyed the story, it had many layers and the myth and the first person narration definitely gave it a literary quality, as well as the rhetorical questions and the different voices. At first I had trouble understanding it and I thought it was a metaphor, I read it as an allegory but then it made sense.'

A similar remark was made by the participant P39 who noted: 'At the beginning, I had the impression that it is going to be an allegory because of the ambiguity of the narrator and his clouding reality'. An interesting process seems to be in operation in these cases: readers face difficulties in grasping the literal meaning of the text, so they attempt to reach an interpretation by moving to a more abstract

level. However, the intertextual link enables them to perceive the literal dimension and furnish the intertextual frame with their background knowledge and the new insight into the Minotaur as offered by the text. With regard to this participant P1 remarked that 'The story was abstract before and after the link its meaning become deeper'.

The final aim of this study was to investigate whether the construction of the intertextual frame affected the readers' emotional response to the text. In the quantitative component the composites BEFORE and AFTER were aimed at investigating the feelings towards the narrator before and after the construction of the intertextual link. The items of the BEFORE composite were measuring whether participants would feel sympathy with the narrator before finding out his true identity. As can be seen in Table 7.5, the mean of the variable is $M = 3.12$ indicating that their response was not sympathetic. An explanation for the lack of sympathetic feelings is the obscurity of Borges' text and the puzzling character of Asterion. The initial arrogance he displays along with his disquieting descriptions of his surroundings and pastimes are likely to build a barrier between him and the readers, who may disregard his underlying loneliness. However, there is a significant difference with the mean of the variable AFTER, which is $M = 3.51$. The variable was designed in order to measure the feelings towards the narrator/Minotaur after realising his true identity and whether participants were more or less sympathetic towards him. By carrying out a paired samples t-test to compare the feelings before and after the construction of the link, the difference reported reached significance level, namely $t(25) = -2.12$ $p < .05$. Consequently, it appears that participants were more sympathetic towards the narrator after finding out his identity and constructing the intertextual link.

Table 7.5 Attitudes towards the narrator before and after the intertextual link

	Mean	N	Std. Deviation	t	df	Sig. (2-tailed)
BEFORE	3.12	25	.833			
AFTER	3.51	25	.627			
				-2.120*	24	.045

* $p < .05$

This shift can be explained using the model proposed above concerning the movement of emotions. Due to the looseness of the topical frame, the first movement does not reflect an association with the authorial intention but rather a more introspective view, a reflection on their previous feelings towards the Minotaur. The feeling of sympathy that may arise corresponds to the second movement of emotions. Sympathy may arise from the juxtaposition of the pre-existing feelings with the tragic perspective to Minotaur's life offered by the short story. The very fact that he is placed in the limelight and he has the ability to mediate his own viewpoint as a first-person narrator lifts the identity of the monster usually ascribed to him. The obscure setting and his unclear thoughts fall into place when introduced into the intertextual frame and the tragedy of his existence becomes prominent. In the interview data, the majority of the participants remarked that the story offered a new, humanising perspective of the Minotaur (see Appendix 6). Thirteen participants stated explicitly that the Minotaur become less of a beast and more of a human. For instance, participant P11 noted that: 'I didn't feel much for the narrator, I wasn't very sorry for him. When I realised who he was I felt pity for him... the Minotaur is a vicious creature. Putting him to narrate the story turns him into a humane creature'. P5 also commented on shifting perspective: 'I thought of the Minotaur as a monster

and an enemy but here as another perspective is added, more humane. He is persecuted by thought, he is monotonous and impaired...’.

On the other hand, the readers’ preconceptions may have a stronger influence during the reflection stage and thus, they would be more resistant to this new perspective. Therefore, after the stage of reflection, their view of the Minotaur as a monster will be more prominent and thus they will not experience sympathetic feelings towards him. Indeed, there were participants who claimed that their previous feelings prevailed at the end of the story. Participants P6 and P34 stated respectively:

‘At first I got the feeling he was isolated and in denial, he didn’t understand his situation so I felt empathy. At the end of the story I didn’t feel as much pity.’

‘I was intrigued by him and I felt empathy because he seemed to be alone, I had feelings at the beginning, he was outnumbered, he was seeking refuge. When he described what happened when he went outside, I felt pity for him but when I realised who he was my reading changed and I felt more detached. I was shocked when I found out.’

In this last example, the change occurring after the construction of the link can be observed. According to the reader, despite the initial pity, he felt more disconnected with the narrator when he realised who he was. His previous knowledge and feelings affected his view and changed his emotional response. The presence of this type of responses in the data may provide an explanation as to why the mean of the composite AFTER was measured at 3.51 and did not reach higher

values. It can thus be suggested that the qualitative data offer further insight into the possible ways readers react to the construction of intertextual links as well as complementing the quantitative data with genuine and original responses of individual reading experiences.

In sum, this study was aimed at proposing a new outlook to intertextuality and exploring its effects on literary reading. In an attempt to go beyond quantitative measurements and in accordance with the rationale of the thesis which placed readers in the centre of the intertextual process a mixed methods design was preferred. The qualitative component offered valuable information on how participants perceived the changes in their reading and their emotional engagement with the story and its narrator. Overall, the findings indicate that not only intertextual links emerge but also that they may have a significant effect on the way readers approach texts. Another interesting finding was the variety of ways readers responded to the construction of links and the influential role their encyclopaedic knowledge played in their response to the link. The notion of intertextual texture was applied in order to capture this diversity and was also used as a means of measuring the quality and impact of the intertextual frames. In addition, a positive correlation was observed between the change in the reading caused by the emergence of intertextual knowledge and the sense of improvement of the literary experience. This can be interpreted as an indication of enhancement of the literary experience owing to intertextuality. A final aim of the study was to explore the impact of intertextual link on the affective response of the participants. The quantitative data pointed towards a connection between the two, which was further supported by the interviews.

7.5.4 Limitations and further research

Intertextuality is a phenomenon that has not been explored empirically, with the exception of the aforementioned studies in the field of classroom research where the literary aspect of the intertextual connections was not a central focal point. This study was designed with this in mind, and Borges' highly intricate text was employed to explore the construction of intertextual links and the emotional engagement of the participants with the narrator. The results of the mixed methods design provided insight into the former and supporting evidence for the role of intertextuality in the emotional engagement. However, this study was of an explorative nature and provided broad considerations. In particular, since the study was based on a very short story that relies on an intertextual connection as its climax, it is open to further research whether the significant correlations discovered would be preserved with a text in which the intertextual connections were more incidental to the overall interpretation.

A further limitation of the study is that it did not look at all three types of intertextual frames, as these have been set out in the thesis, namely semantic, topical and stylistic. Rather, it focused only on the creation of a topical frame with the link emerging at the end of the story. As a result, the effects of the construction could only be examined cataphorically. Future research can examine how topical frames are created early on in the text influence the reading experience, such as in Carol Ann Duffy's poem 'Mrs Faust'. Another related issue was that the link was based on cultural knowledge concerning an ancient Greek myth, thus a possible direction is to look at links back to other literary texts. In relation to a study targeted to semantic intertextual frames, it should be stressed that due to their idiosyncratic nature it may be more complex to investigate them. Nevertheless, a less rigid and open design

focusing on oral data will probably be able to capture the subtleties of their creation. Finally, with regard to stylistic intertextual frame, there are a number of possible research directions. Firstly, their formulaic nature proposed in Chapter 6 can be investigated using measurements from the field of psycholinguistics. For instance eye-tracking studies can determine whether phrases are processed as chunks or separately and also provide insight into the ways readers respond to variations on lexicalised expressions, such as 'to be or not to be'. Examples of such variations were offered in Chapter 6 along with discussions of their possible effects.

I believe that research on intertextuality should greatly rely on qualitative measurements because of its highly idiosyncratic and individualistic quality, which may render statistical measurements unnecessary. Although interviews were used as a means of collecting data, future studies can take an even more qualitative perspective and employ read-aloud protocols with accordance to Miall's previous research (e.g. Miall and Kuiken, 1999). Moreover, if closer attention needs to be paid, case studies can also be a very thorough method that would allow researchers to investigate in great detail a number of aspects of intertextuality ranging from the creation of various frames to the emotional response of the participants to the links. The rapport that might develop between the interviewer and the interviewee may also be beneficial for exploration regarding affective issues. In particular, prospective research may look at the emotional responses of readers to the various types of frames and examine whether their construction has a lasting or temporary effect on the readers' attitudes. Therefore, it can be suggested that intertextuality opens up a number of possibilities for empirical exploration ranging from psycholinguistic designs to more reader-oriented research.

7.6 Review

This chapter was developed twofold. The first part looked at the relationship between emotion and intertextuality. Emotion has attracted the attention of a number of literary scholars and has become a central notion in the field of cognitive poetics as well. Following the rationale of the thesis, a model was proposed exploring the generation of emotional responses due to the emergence of intertextual frames. It was based on Oatley's theory of the two movements of emotions and it suggested that intertextual frames trigger two stages of emotional response: the readers' reflection or identification with the authorial intention, which is followed by the experience of a given emotion. The second part presented an empirical, mixed methods study which covered a number of key issues associated with intertextuality in the thesis. It looked at the type and the quality of the intertextual frame employing notions such as intertextual texture and chaining and then looked at the effects that the link had on the reading experience in terms of the participants' affective reactions. The positive findings provided support for the model and opened up new paths of research.

8 Conclusions

8.1 Thesis overview

The central concept around which this thesis revolved was intertextuality viewed under the light of the principles of cognitivism. Through its relatively brief history the concept has undergone prolific appropriations and has influenced the works of many literary critics. The present approach was informed by advancements in the field of cognitive psychology, linguistics, cognitive poetics and reader-response research, and proposes a more open-ended, encyclopaedic and transformative view. Readers were placed in the centre of the process and are seen as the major agents in the generation of intertextual connections. Nevertheless, the role of the text and authorial intention was not neglected. Rather, both were accounted in relation to the different types and the degree of influence was defined.

Chapter 1 presented a brief overview of the origin and the subsequent uses of the notion starting from Kristeva's post-structuralist *intertextualité* and its affinities with Bakhtinian dialogism. Roland Barthes' similar views were also illustrated and they were followed by the structuralist approaches of Genette and Riffaterre with a focus on the more central role that readers gradually acquired in the discussion. Then, the various appropriations in the field of linguistics were presented stressing the absence of a rigorous approach to intertextuality and presenting an argument in favour of a cognitive approach to the concept. The chapter concluded with a summary of the structure of the thesis and the research questions. Chapter 2 introduced the basic principles upon which the thesis was based as defined by cognitive semantics. The first principle was the encyclopaedic aspect of word

meaning and it was primarily expressed in the work of Fillmore (e.g. 1985) and Langacker (1987) on frames and domains respectively. According to these theories, words are considered access points to vast repositories of knowledge formed by individuals' ranges of experience. Along with the rejection of the dichotomy between semantics and pragmatics, they allowed for an encyclopaedic outlook to meaning construction. The second principle of cognitive semantics was that meaning construction is seen as conceptualisation, as Fauconnier and Turner (2002) maintain in Conceptual Blending Theory.

Chapter 3 introduced the notions of intertextual knowledge and intertextual frames. Intertextual knowledge was defined as the type of knowledge individuals have from previous literary experiences. Intertextual frames were described as the online processing domains where text-specific knowledge is combined with the reader's intertextual knowledge giving rise to intertextual connections. Three types of frames were identified, namely the semantic, topical and stylistic intertextual frames, and their characteristics were also specified. The most prominent of the latter is intertextual texture. Intertextual texture provides a means of evaluating the quality of the intertextual link since it offers text-driven and readerly-driven criteria, allowing us to place the intertextual frame within the extremes of a continuum ranging from fine to faint intertextual texture.

The following three chapters elaborated on the nature of the three types of frames. More specifically, Chapter 4 had a cognitive semantic perspective and presented the model for semantic intertextual frames, which are triggered when readers create an intertextual link based on the identification of a single lexical item. The model proposed for their description was based on Evans' LCCM Theory (e.g. 2009) and it was claimed that words are the point of access to *lexical concepts* and in

turn to cognitive models. It was claimed that intertextual connections can be created if the cognitive models LITERARY ENTITY or MYTHOLOGICAL ENTITY are accessed through direct or indirect access routes. Direct access routes are afforded when the link is built upon identifying the same lexical item, which can be literary or mythological characters, or even any type of word, and when identifying a cognitive synonym or plesionym, while indirect access routes are afforded in the case of hyponymy. Despite the fact that semantic frames appear to have a rather local effect on the reading experience, they can bear more significant effect through the process of intertextual chaining, i.e. the readers' ability to further support the intertextual link by tracing elements common in the both the activated and the source text.

Chapter 5 looked at more complex constructions, the topical intertextual frames, which are created by bringing together a number of semantic frames. Instead of limiting the generation of intertextual links on the occurrence of one lexical items, this type looks at intertextuality as a result of the 'macro-structures' of the texts and it is proposed that an intertextually-built text world is constructed by tracing a variety of elements from the literary texts and combing them in the frame with the readers' intertextual knowledge. Werth's text world theory (e.g. 1999) provided the basis for the development of the model. This way finely-textured intertextual links, which have more global effects on the literary experience, are likely to occur. Another implication of these frames is that we move away from more impressionistic readings of literary texts towards readings where the authorial intention behind the intertextual link is more evident.

Chapter 6 looked at stylistic intertextual frames, which differ significantly from the previous two types of frames. These frames referred to two separate ways of forming intertextual connections, but they were grouped in the same category

because of their similarity in terms of a more structured and well-defined nature. The first type refers to intertextual links created through the identification of quotations in a literary text. The various types of quotations were identified and categorised in terms of the explicitness of the markers, ranging from those clearly identifying their source to embedded quotations. The second type of stylistic intertextual frames was related to the ways readers build connections by tracing genre similarities owing to schema activation. Moreover, an account of how parodic texts may be interpreted based on schema disruption was presented. An important notion discussed in the chapter was creativity with regard to the authorial intention and the readers. It was argued that 'authorial' creativity is particularly prominent when accounting for changes implemented on quoted elements from others texts and ascribing new meanings to them. On the other hand, the readers' creativity refers to their ability to access these meanings. Creativity was also tied with the notion of discourse communities.

The three kinds of frames considered may be ordered in a progression with regard to the level of complexity and correspondence with the levels of linguistic analysis and the readers' idiosyncrasy. Semantic intertextual frames are situated in the lowest level, since they arise from single lexical items that afford access to lexical concepts and cognitive models. These are usually idiosyncratic relying on the individuals' encyclopaedic knowledge and they have a localised effect on the interpretation of the text. Stylistic intertextual frames triggered by the identification of quotation have a less idiosyncratic nature than semantic ones but at the same time their effect on the reading experience is confined in the immediate co-text. When a number of related semantic frames are identified, they form a topical frame which has the ability to have a global effect on the reading experience. In addition, the

stylistic frames created when identifying genre similarities can be seen as overarching structure which frames the discourse and the reading of the text. Therefore, the current model was designed in order to cater from smaller-scale to larger-scale intertextual phenomena.

Finally, Chapter 8 offered a novel view of intertextuality by investigating its relationship with the readers' affective response. A model was proposed based on Oatley's theory of the two movements of emotions. More specifically, it was proposed that the identification of an intertextual link and the construction of an intertextual frame prompt the first movement of emotion, i.e. communication with either the authorial intention or the readers' past experience. This may be followed by the second movement, the reflection, which refers to the readers' evaluation of the link and the connection with one's private readings, facilitating thus an affective response. The second part of the chapter presented a short mixed methods study which aimed at examining a number of aspects of intertextuality. Forty students from the School of English Studies at the University of Nottingham were asked to read a short-story, complete a questionnaire and have a follow-up interview. Twenty five of them indicated that they constructed an intertextual link. The effect that the construction had on the reading experience was measured and a positive correlation was indicated between the readers' knowledge and the change in the reading experience as well as between the change and the sense of improvement of the reading. The interview data also showed that readers constructed frames of varying textures. Another interesting point was that the emotional response towards the narrator appeared to change after the emergence of the frame. Although participants did not seem to feel particular sympathy for him throughout the story, they reported that this changed after they realised his true identity. This may be due to the second

movement of emotion; participants connected the past experiences and feelings with the present situations and they were able to invest new meaning to them.

8.2 Implications

The thesis bears implications both for the notion of intertextuality and the discipline of cognitive poetics. My purpose was not only to direct the discussion towards the central role of readers, usually neglected by literary critics, but most importantly to fill a gap in the literature of linguistics. To my knowledge, this is the first model that caters for 'literary' intertextuality while its theoretical core remains linguistic. Birch's (e.g. 1986) work pointed to this direction but did not offer a refined framework that would allow its application. Contrarily to de Beaugrande's (e.g. 1984) and Fairclough's (e.g. 1995) approaches, this model brings together insights from cognitive linguistics and cognitive poetics and looks at how readers construct intertextual links by formulating the notion of intertextual frames and their workings. The model also operates at various levels of textual analysis and at various degrees of 'readerly freedom'. For example, with regard to detailed micro-linguistic analysis, one can look at the stylistic frames triggered by quotations and the linguistic variations they may have undergone and their effects on the reading experience, or at the concepts of intertextual chaining occurring both at a conceptual and textual level, and investigate the readers' choices and their effect on furnishing the intertextual frame. In addition, higher level phenomena can also be examined by looking at the creation of intertextually-built text worlds formed by various world-building elements and function-advancing propositions and complemented by the readers' knowledge.

The concept of 'readerly freedom' is crucial for two reasons. Firstly, as it has been maintained throughout the thesis, this approach breaks intertextuality free from

the restrictions that literary critics have imposed and opens up a whole new field of research that focuses on the dynamics of the relationship between the text and the reader. This is reflected in Hartman's (1992) remark that intertextuality is 'mutable and reflects the context in which it is appropriated; it can manifest itself differently depending upon the conditions of its appropriation' (306). In addition, the concept of 'readerly freedom' is related to the *democratisation* of the study of reading. In other words, the proposed framework places in the foreground readerly responses to literary texts distancing itself from the abstracted concept of the 'model reader' (e.g. Eco, 1979). This idealised concept is favoured by literary critics, such as Culler, who proposed the term 'ideal reader' (1975), or Fish, who preferred the term 'informed reader' (1980). The representativeness of this view has been questioned as '[r]eaders in these approaches are understood as universal, aggregate, hypothetical entities' (Bortolussi and Dixon, 2003: 6). On the other hand, the current approach aims at capturing impressionist readings and emphasises the importance of investigating responses of real readers.

This last remark has significant implications on the ways literary texts should be approached and taught. In educational contexts, students should be given the opportunity to explore texts creatively and according to their own intuitions and knowledge. The concept of semantic intertextual frames can also be employed in order to help students discover new meanings and associations and possibly enhance their reading experience, as it was pointed out by participants of the study. A similar point has been made by Latham (2008), who notes that intertextuality may invoke 'multiple layers of meaning' (225) and readers are invited to 'become active participants in the making of meaning' (225). Instead of the teacher-centred approach to literary teaching, which sees the students are the passive recipients of list of

allusions and quotations from other literary texts, explorations of their own associations can be essential in the development of their critical thinking and reading skills. They can also serve as means of promoting self-exploration and even of engaging in more private reading, building thus a closer connection with literature.

Moreover, there are implications regarding the field of cognitive poetics as a whole, the most important of which is related to the cognitive poetic principle of ecology as it was described by Stockwell (2009). Stockwell stressed that neither texts nor readers are autonomous entities but should be considered in a joint enterprise that aims at investigating the sense of textuality, or else texture. This new ecological account 'requires a new form of calibration and explanation, which draws on both traditional linguistic description and cognitive scientific accounts, and tries to combine them' (Stockwell, 2009: 5). My claim is that this piece of work offers an insight into how this integration can be achieved and how this discipline may be promoted. Furthermore, a conscious effort was made to employ a model from cognitive linguistics, namely Evans' LCCM Theory, in an attempt to reinforce its ties with cognitive poetics. This concern was raised by Louwse and van Peer's (2009) observation that cognitive poetics has tended to draw its models mostly from cognitive psychology. I believe that the work of cognitive linguists is of paramount importance and relevance to the practitioners of the discipline, since it offers the necessary level of linguistic sophistication and validation that would allow for the straightforward application of their theories in the study of literary texts. A further point is related to a remark that Professor Verdonk made during the one-day PALA Symposium in honour of Ronald Carter and Katie Wells at the University of Nottingham (the *A Celebration in Style* symposium, in Nottingham on 8th April 2011). After Peter Stockwell and Joanna Gavins' paper on Simon Armitage's 'To his

Lost Lover' (1993), Professor Verdonk remarked that the poem reminded him of Larkin's 'Talking in Bed' (1964), that it had a Larkinian quality and he mentioned a number of lines from both poems that echoed each other. I believe that this work provides us with the framework of explaining this personal reading and points towards what may be called 'Comparative Cognitive Poetics', which would investigate how readers perceive and link together the texture of different literary texts. A final point is reiterating that the study reported in Chapter 7 can serve as a trigger for further empirical research that will respond to Miall's (2006) criticism of concerning the lack of empirical explorations in the field.

8.3 Prospects for further research

The approach to intertextuality developed in the thesis has looked at the creation of connections between literary texts and a framework was presented in order to cater for the discourse of this genre. Nevertheless, intertextual connections arise while reading any type of text, and they can range from looser connections to more concrete ones based on the identification of quotations appropriated in a new context. An example is the use of literary allusions in the press as it has been demonstrated by Lennon (2004) and Grandage (2010). Despite the exclusive focus of the thesis on literary genre, I believe that the principles presented here can be applied across different types of texts in order to account for the phenomenon. Thus, a possible expansion of the research can be mapping the different types of intertextual frames that are created across various types of genres and also explore the differences in the effect these frames have on the reading experience. This can be easily investigated with a reader-response study where the frames emerging through the same textual elements encountered in different genres are compared and contrasted. It is also of particular interest to conduct more empirical studies as described in section 7.5.4

with emphasis both on the nature of intertextual frames and their effect on the emotional engagement of the readers. A natural extension is to conduct case studies and to focus thoroughly on individual readers. This may provide us with further insight into how links emerge and how these links may affect the reading experience. At the same time, there is also the prospect of bringing together psycholinguistic experimental methods and cognitive poetic practices through the investigation of the formulaic nature of literary quotations. I believe that practitioners of cognitive poetics should take advantage of the rich literature on experimental designs and become more involved in developing and running reader-response studies. Not only will they be able to test the applicability and accuracy of their theories but they may also uncover new aspects of a particular phenomenon.

A final point is once more related to intertextuality and its broader application. As Juvan (2008) states, intertextuality may refer to the relationship between texts and other sign systems and codes, one of which is painting. There has been some research on the connections between the two (e.g. Czekalski, 2005; Koutrianou, 2008) employing the traditional view of intertextuality. The rise of cognitive poetics can offer a new descriptive methodology for discussing these connections, which can also be tested empirically with the aid of psycholinguistic tools. For instance, a study can focus on the textual elements that readers' focus on while reading a description of a painting they are familiar with, and then use eye-tracking to record their eye-movements while looking at the same painting. This will allow us to explore the concept of attention both visually and textually through intertextuality.

Appendices

Appendix 1

Mrs Faust

First things first -
I married Faust.
We met as students,
shacked up, split up,
made up, hitched up,
got a mortgage on a house,
flourished academically,
BA. MA. Ph.D. No kids.
Two towelled bathrobes. Hers. His.
We worked. We saved.
We moved again.
Fast cars. A boat with sails.
A second home in Wales.
The latest toys – computers,
mobile phones. Prospered.
Moved again. Faust's face
was clever, greedy, slightly mad.
I was as bad.
I grew to love lifestyle,
not the life.
He grew to love the kudos,
not the wife.
He went to whores.
I felt, not jealousy,
but the chronic irritation.
I went to yoga, t'ai chi,
Feng Shui, therapy, colonic irrigation.
And Faust would boast
at dinner parties
of the cost
of doing deals out East.
Then take his lust
to Soho in cab,
to say the least,
to lay the ghost,
get lost, meet panthers, feast.

He wanted more.
I came home late one winter's evening,

hadn't eaten.
Faust was upstairs in his study,
in a meeting.
I smelled cigar smoke,
hellish, oddly sexy, not allowed.
I heard Faust and the other laugh aloud.
Next thing, the world,
as Faust said,
spread its legs.
First politics -
Safe seat. MP. Right Hon. KG.
Than banks -
offshore, abroad -
and business -
Vice-chairman. Chairman. Owner. Lord.
Enough? *Encore!*
Faust was Cardinal, Pope,
knew more than God;
flew faster than the speed of sound
around the globe,
lunched;
walked on the moon,
golfed, holed in one;
lit a fat Havana on the Sun.
Then backed a hunch -
invested in smart bombs,
in harms,
Faust dealt in arms.
Faust got in deep, got out.
Bought farms,
cloned sheep.
Faust surfed the internet
for like-minded Bo Peep.

As for me,
I went my own sweet way,
saw Rome in a day,
spun gold from hay,
had a facelift,
had my breasts enlarged,
my buttocks tightened;
went to China, Thailand, Africa,
returned enlightened.
Turned 40, celibate,
teetotal, vegan,
Buddhist, 41.
Went blonde,
redhead, brunette,
went native, ape,
berserk, bananas;

went on the run, alone;
went home.
Faust was in. *A word*, he said,
I spent the night being pleased
by a virtual Helen of Troy.
Faced that launched a thousand ships.
I kissed its lips.
Thing is -
I've made a pact
with Mephistopheles,
the Devil's boy.
He's on his way
to take away
what's owed,
reap what I sowed.
For all these years of
gagging for it,
going for it,
rolling in it,
I've sold my soul.

At this, I heard
a serpent's hiss
tasted evil, knew its smell,
as scaly devil's hands
poked up
right through the terracotta Tuscan tiles
at Faust's bare feet
and dragged him, oddly smirking, there and then
straight down to Hell.
Oh, well.
Faust's will
left everything-
the yacht,
the several houses,
the Lear jet, the helipad,
the loot, et cet, et cet,
the lot -
to me.
C'est la vie.
When I got ill
it hurt like hell.
I bought a kidney
with my credit card,
then I got well.
I keep Faust's secret still -
the clever, cunning, callous bastard
didn't have a soul to sell.

Carol Ann Duffy (1999)

Appendix 2

Consent form for the research study

Participant No: _____

CONSENT FORM FOR RESEARCH STUDY

Reader-Response Study on the Experience of Narratives

- Researcher: Maria-Eirini Panagiotidou
School of English Studies, University of Nottingham.

The main purpose of this experiment is to examine the responses of readers to a particular narrative type. Firstly, you will be asked to read a short story and then to fill in an anonymous questionnaire about your impressions of the literary text. The last part will be a short interview which will investigate in more depth certain aspects of your responses.

Please, read the following information and cross out as necessary:

- I confirm that I have understood the purpose of this study. YES/ NO

- I have had the opportunity to ask questions and they have been successfully answered. YES/NO

- I understand that my participation in this study is voluntary and that I am free to withdraw from the study at any time and without having to give a reason. YES/NO

- I understand that all data are anonymous and that there will not be any connection between the personal information provided and the data. YES/NO

- I confirm that I have read and understood the above information and that I agree to participate in this research study. YES/NO

Participant's signature: _____

Date: _____

Participant's Name (in block capitals) _____

Age _____

Researcher's signature: _____ Date: _____

Appendix 3

The House of Asterion by Jorge Luis Borges

And the queen gave birth to a son named Asterion.
Apollodorus, *Library*, III, I

I know they accuse me of arrogance, perhaps also of misanthropy, perhaps also madness. Such accusations (which I shall castigate in due course) are laughable. It is true that I do not leave my house, but it is also true that its doors (which are infinite¹ in number) are open day and night to man and animal alike. Anyone who wishes may enter. One will not find feminine extravagance here, nor gallant courtly ritual, just quiet and solitude. Here one will find a house like no other on the face of the Earth. (They who declare that in Egypt exists another similar are lying). Even my detractors admit that there is not *a single piece of furniture* in the house. Another ridiculous tale claims that I, Asterion, am a prisoner. Need I repeat that there are no closed doors? Should I add that there are no locks? Besides, I did one evening step out onto the street; if I returned home before nightfall, I did so because of the fear that the faces of the *hoi polloi*, faces discoloured and plain like an open hand, had induced in me. The sun had already set, but the helpless cry of a baby and the coarse supplications of the common herd signalled that I had been recognised. The people prayed, fled and fell prostrate; some climbed up to the stylobate of the temple of Axes, others gathered stones. Someone, I believe, hid himself under the sea. Not in vain was my mother a queen; I cannot mix with the common people, though my modesty does so desire it.

The fact is that I am unique. What a man can pass unto others does not interest me; like the philosopher, I think nothing is communicated by the art of writing. Annoying and trivial minutiae have no place in my spirit, a spirit which is receptive only to whatsoever is grand. Never have I retained the difference between one letter and another. A certain generous impatience has not consented that I should learn to read. Sometimes I deplore this, for the nights and days are long.

Naturally, I am not without amusement. Like a ram on the charge, I run through the galleries of stone until dizzily I tumble to the ground. I conceal myself in the shadows of a cistern or in the corner of a corridor and pretend that I am being searched for. There are rooftops from which I let myself fall until I bloody myself. At any time I can shut my eyes and pretend that I am asleep, breathing deeply. (Sometimes I really do sleep, sometimes the colour of the day has changed by the time I open my eyes). But of the games I play, the one I prefer

¹ The original says *fourteen*, but there is ample reason to infer that in Asterion's #eyes, this adjectival numeral is no different to *infinite*'

is pretending there is another Asterion. I pretend that he has come to visit me and I show him around the house. With great reverence I tell him: *Now we return to the previous intersection, or Now we head towards another courtyard, or I knew you would like this drain, or Now you will see a cistern that has filled with sand, or Now you will see how the cellar forks.* Sometimes I err and we both laugh heartily.

Not only these games have I imagined; I have also meditated on the house. Each part of the house repeats many times, any particular place is another place. There is not one cistern, courtyard, drinking fountain, manger; there are fourteen (infinite) mangers, drinking fountains, courtyards, cisterns. The house is the size of the world; better said, it is the world. Nevertheless, by dint of exhausting all the dusty galleries of grey stone and the courtyards with their cisterns, I have reached the street and I have seen the temple of Axes and the sea. This I did not understand until a night vision revealed to me that there are also fourteen (infinite) seas and temples. Everything exists many times over, fourteen times, but there are two things in the world that seem to exist only once; above, the intricate Sun; below, Asterion. Perhaps I have created the stars and the Sun and the enormous house, but I do not remember anymore.

Nine men enter the house every nine years so that I may deliver them from all evil. I hear their footsteps or their voices in the depths of the galleries of stone and I run with joy in search of them. The ceremony lasts a few minutes. One after another, they fall to the ground without me having to bloody my hands. Where they fall, they remain, and the cadavers help to distinguish one gallery from another. I know not who they are, but I do know that one of them prophesied, at the moment of his death, that someday my redeemer would come. Since then, the solitude does not pain me because I know that my redeemer lives, and in the end he will rise above the dust. If I could hear all the rumblings of the world, I would detect the sound of his footsteps. Let it be that he take me to a place with fewer galleries and fewer doors.

I wonder: what will my redeemer be like? Will he be a bull or a man? Will he be perhaps a bull with the face of a man? Or will he be like me?

The morning Sun was reflected in the sword of bronze. No trace of blood remained.

"Would you believe it, Ariadne?" said Theseus. "The minotaur hardly put up a fight."



Appendix 4

Questionnaire

What is it about? This questionnaire focuses on a short-story written by a famous 20th century writer, Jorge Luis Borges. Borges' texts are intriguing and puzzling but readers usually report that they find them satisfactory. In this questionnaire we would like to find out how you feel about the text you have just read.

Instructions: Please answer the following question. Indicate your answer by putting a ✓ in the appropriate box. Thank you!

PART A

Q1. At the end of the text, did you realise that the narrator (Asterion) was actually the Minotaur? Yes No

PART B

Please indicate the extent to which you agree or disagree with the following statements by putting a ✓ in the appropriate box.

		Strongly Agree	Agree	Neither Agree/Disagree	Disagree	Strongly Disagree
1	The realisation that the narrator was the Minotaur altered my reading.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	I felt sympathy for the narrator before the revelation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	My knowledge about the Minotaur changed the way I saw the narrator	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	I enjoyed the story more after the realisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	I felt less strongly for the narrator before making the connection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	At the end I still considered the Minotaur a monster	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	Realising that the narrator was the Minotaur helped me understand the story better	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	I felt no pity for the narrator after understanding his true identity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	The point of view of the story was clearer after identifying the Minotaur	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10	The word 'Minotaur' brought to mind knowledge that changed my interpretation of the story	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	At first, the narrator provoked feelings of misery and pity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	At the end my feelings towards the narrator were positive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	I believe that the link between Asterion and the Minotaur contributed to the literary quality of the story	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	I couldn't engage with the story before making the connection with the Minotaur	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15	Realising that the narrator was the Minotaur did affect my reading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16	I felt sympathy for the Minotaur after realising he was the narrator.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17	My reading became richer at the end (another perspective was added/ became apparent, another level of meaning was added)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18	The way I saw the narrator did not vary throughout the story.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART C

In this final part, you are asked to provide an answer to the following questions. Indicate your answer by putting a ✓ in the appropriate box.

Q1. How familiar are you with the myth of the Minotaur? Please place your check mark on the following scale:

My knowledge concerning the myth is:

very specific : : : : very vague

Q2. How satisfactory and engaging did you find the story? Please place your check mark on the following scale:

very engaging : : : : not at all engaging

Q3. Did you put much mental effort in reading the text? Please place your check mark on the following scale:

a lot of effort : : : : no real effort



Thank you for completing the questionnaire!

Now you can return the handout.

Appendix 5

Interview Questions

Participant Number:

What your feelings at the beginning of the story? What were your feelings towards Asterion after the end of the story?	
Did your previous knowledge affect your view of Asterion?	
Did this story change the way you see the Minotaur?	
Did you go back to the story or skim through it again after realising that the narrator was the Minotaur?	
Which were the words from the text that helped you construct the myth of the Minotaur?	
Any specific textual elements that you re-evaluated?	
What was your previous knowledge of the myth?	
Is there anything else that you would like to add with regard to your reading?	

Appendix 6

Interview Transcripts

Q1 What were your feelings towards Asterion after the end of the story?

P1	I felt pity for Asterion at the beginning but after a point you realise that he is weird when he starts talking about men being brought to him.
P2	It was weird at the beginning, the narrator was a Jesus-Dracula figure confined in a house. I engaged but I didn't empathise. After realising he was the Minotaur, I engaged more.
P3	I felt pity before but I also saw him as crazy. After i realised who he was he seemed less rational.
P4	I felt sympathy before and after I realised who he is.
P5	Before he seemed self-obsessed and boring, he didn't understand his situation. I didn't sympathise. When I realised that he was the Minotaur I pity for him.
P6	At first I got the feeling he was isolated and in denial, he didn't understand his situation so I felt empathy. At the end of the story I didn't feel as much pity.
P7	I found the story intriguing at the beginning and I felt sympathy for him to a certain extent. At the end of the story there was a change in my feelings, they were highlighted.
P8	Before I felt pity and sympathy for him and when I found out that he was the Minotaur I was surprised but I felt pity as well.
P9	I didn't have any feelings.
P10	Before the end I was intrigued to find out who the narrator was, and when I reached the end I felt sorry for him but also pleased for his game.
P11	I didn't feel much for the narrator, I wasn't very sorry for him. When I realised who he was I felt pity for him.
P12	I didn't feel much because I couldn't understand what was going on and who the narrator was. After I read it I felt a bit more.
P13	Before and after I realised who the narrator was I felt pity and empathy for him.
P14	I didn't feel strongly while I was reading the story but when I reached the end and the story became more clear I had stronger feelings for the narrator.
P15	I am not sure I can answer this because I don't know the myth of the Minotaur. I felt sympathy and understanding.
P16	I was sympathetic at the beginning and my feelings didn't change.
P17	The story was vague and I didn't know where I stood. It was clearer at the end but I didn't empathise with the narrator.
P18	I didn't get the impression he was unhappy and I didn't feel anything particular.
P19	I didn't have any feeling until I found out at the end that he was the Minotaur and I felt that he was a troubled and tormented creature.
P20	Before the end I was very confused and I thought that he was a weird old man. Afterwards I realised who he was and that changed and I felt sympathy for him.
P21	I was quite indifferent and I didn't feel anything in particular but at the end it

	was like a shock revelation and I felt sympathy for him.
P22	I didn't have any feelings towards Asterion. When I reached the end it changed completely I understood the story and I felt sympathy for him.
P23	I didn't feel anything before and then I sympathised with him, I saw him as a lonely figure and the victim.
P24	I felt he was slightly mental and I was uncomfortable when I was reading the story and slightly hostile towards him. I didn't feel any sympathy. When I saw that he was he Minaotaur I was sympathetic.
P25	The anonymity of the guy made me feel sympathy; after the end of the story I was less sympathetic.
P26	At the beginning I was waiting till I find out more about him and I felt a bit of empathy. When I found out he was the Minotaur I felt more empathy.
P27	No, I didn't feel anything, I was neutral. At the end I felt a bit of empathy.
P28	A bit of sympathy but when I realised he was the Minotaur I was shocked.
P29	I was very suspicious at the beginning and I felt a bit of pity. The end made me be more understanding towards the Minotaur.
P30	I first saw him as an ordinary guy who was private and maybe an outsider and I didn't feel anything in particular at the end.
P31	I felt that he was a bit mental at the beginning and then to some extent I felt sympathy
P32	I felt he was misunderstood but he was happy and when I found out he was the Minotaur I was surprised but I didn't feel anything.
P33	I felt sympathy for him and I empathised with the character but then it becomes more complex. When I realised that he was the Minotaur, I saw him as more vulnerable. It was interesting to see how the place reflects his feelings and see how for him everything is rational and how you see that he can be deluded.
P34	I was intrigued by him and I felt empathy because he seemed to be alone, I had feelings at the beginning, he was outnumbered he was seeking refuge. When he described what happened when he went outside, I felt pity for him but when I realised who he was my reading changed and I felt more detached. I was shocked when I found out.
P35	There was a mixture of sympathy and feeling that he is a crazy person. There were a lot of contradictions, and the number 14, there was confusion. When I reached I felt sympathy for the Minotaur and it also made the story have a different sense.
P36	I felt pity at first and then I thought he was crazy and strange and also creative as he invented his own games.
P37	It was a strange story and the language was like an ominous enigma open to interpretation
P38	I felt a bit of sympathy but I didn't trust him because he was exaggerating
P39	I felt pity because it was like dramatic irony, he couldn't realise the reality. Afterwards, I had a complicated reaction. The creature had a solitary existence but my preconceptions were present.
P40	I felt sorry for the narrator. The story is quite emotive it makes you feel empathy. You have to connect and see it from his own view.

Q2 Did you previous knowledge affect your view of Asterion?

P1	It affected it slightly.
P2	Yes, Asterion was less a victim and more like a monster.
P3	Yes, I gained more understanding of the more abstract pieces and I brought together my previous knowledge with the text.
P4	Yes.
P5	It made the text much clearer.
P6	Yes, he became more violent.
P7	Yes.
P8	N/A
P9	No.
P10	A bit but I have a background understanding of what the Minotaur is.
P11	Yes.
P12	I was reserving my judgement and I wasn't as harsh as I would be.
P13	Yes because I recalled elements from the myth.
P14	A bit but not too much.
P15	N/A
P16	No because I didn't realise at the end who the narrator was.
P17	Yes
P18	No
P19	Yes
P20	Not much.
P21	Yes
P22	Yes
P23	Yes
P24	Yes
P25	Yes , but I still don't like the Minotaur.
P26	I have vague knowledge of the myth.
P27	No.
P28	Yes.
P29	Yes, I understand his situation better.
P30	Yes, he looked more threatening.
P31	Yes, the story became clearer.
P32	Yes.
P33	Yes, I want to re-read it with this knowledge.
P34	Yes.
P35	Yes, he was more a hunter.
P36	Yes, he is a godly being and the Minotaur.
P37	No answer.
P38	No answer.
P39	What I felt was ambiguous.
P40	Yes, you understand why he would feel like that.

Q3 Did the story affect the way you see the Minotaur?

P1	Yes, at the end he was not much of a monster at the end and the story offered another perspective to my understanding of the myth.
-----------	--

P2	Kind of, he is a victim and a loner and there was shift in my feeling, I felt differently.
P3	No, I saw them as two separate stories.
P4	Yes because you see things from his perception you realise that he is not a bad character it detracts the evil from him. You see different things and you realise that they are not black and white.
P5	I thought of the Minotaur as a monster and an enemy but here as another perspective is added, more humane. He is persecuted by thought, he is monotonous and impaired, he turns from a monster to a robot.
P6	Yes, I gained insight into his thoughts and feelings.
P7	Very much, he was a monster and he become more human, he expressed emotions and I gained more detailed knowledge of his world.
P8	Yes, it did. I see more of a human being now, I have a more sympathetic view.
P9	I had more of a perspective to his thoughts.
P10	A bit, I saw him less cruel, that he had his own identity and feelings, more human characteristics.
P11	Yes, the Minotaur is a vicious creature. Putting him to narrate the story turns him into a humane creature.
P12	It offered me a different perspective, it levels out our preconceptions of the Minotaur and I sympathised more and I felt more empathy.
P13	Slightly and the first person narration contributed as well.
P14	I have more positive feelings now, I see him differently and this is related to the narrator too.
P15	Yes I admired him at the end.
P16	No for the Minotaur, but yes for the narrator as an impression.
P17	He is not such as monster as before.
P18	No.
P19	Yes, I understand the Minotaur and his frustration and I felt empathy. The story moves from vagueness to clarity and he stops being merely a beast and becomes more humane.
P20	Yes, he stops being an aggressive character and you realise that he is trapped. You see him as a person.
P21	I became more engaged with the story. What I thought as incapable of feeling and a monster was humanised.
P22	Yes, he turns from a monster to a human being.
P23	He was humanised, not so much a monster as before,
P24	I still think he is a monster but I am more sympathetic to the situation.
P25	It did, the legend says that he is a beast but here you see his thoughts.
P26	The Minotaur is a beast, a monster. This story changes him and he is slightly more humane.
P27	Yes, in the original he is monster but now you see that he has feelings and emotion so access a different perspective.
P28	I see him more like a monster.
P29	Yes, I understand now that he was lonely and that makes me think of him as more humane.
P30	He acquired a human quality.
P31	The Minotaur was more humane.
P32	It made the Minotaur more human and less of a beast.
P33	He seems less of a monster and more humane.
P34	The Minotaur is more humane.

P35	I didn't see him as a victim. You get into his head and you realise he has got feelings. The story offers a different view on him.
P36	Yes because an abstract concept is made more understandable. He isn't locked in a house he is a monster in a maze.
P37	Yes I felt sympathy for him. In the Greek myth, the Minotaur is more of a monster.
P38	Kind of- I want to read it again now that I realised that he is the Minotaur. I don't know much about the story.
P39	Partly, to a certain extent. I felt something, I made start thinking about blame.
P40	Yes, the feeling of being trapped made me feel sympathy. He is more vulnerable than I would have thought before.

Q4 Did you go back to the story or skim through it again after realising that the narrator was the Minotaur?

P1	Yes, at the end he was not much of a monster at the end and the story offered another perspective to my reading.
P2	Yes, I focused on expressions like: 'I let myself fall, I bloody myself', pretending being else.
P3	No.
P4	Yes briefly.
P5	Yes.
P6	Yes.
P7	No.
P8	No.
P9	No.
P10	Yes, I skimmed through it.
P11	No.
P12	No.
P13	Just the last bit again.
P14	Yes.
P15	No answer.
P16	No.
P17	I re-read the last bit about the 9 men.
P18	No answer.
P19	I skimmed through it.
P20	No.
P21	Yes.
P22	Yes.
P23	Yes.
P24	No.
P25	No.
P26	No.
P27	No.
P28	No.
P29	Yes.
P30	Yes.
P31	Yes
P32	Yes, the bit about the 9 men that die and the redeemer.
P33	No.

P34	Yes, I skimmed through when realising.
P35	Yes.
P36	No.
P37	No.
P38	No
P39	Yes, to trace the little clues, it made me feel uneasy.
P40	No.

Q5 Where there any words from the text that helped you construct the myth of the Minotaur?

P1	The expression 'ram on charge'.
P2	The words 'bull', 'redeemer' and 'pinnacle'.
P3	The reference to the 'queen', '9 men every nine years', the repetition of 'round' that alludes to the maze, people being scared of him.
P4	No.
P5	The reference to Theseus, mother queen
P6	The 9 men enter every 9 year, Theseus and Ariadne.
P7	Labyrinth, the repetition of the word infinite and the 9 men that enter the house.
P8	The house that is actually the labyrinth, the people that are scared of him when he comes out, the expression 'charge like a ram' and that he runs through the building, and the redeemer.
P9	The references to Theseus, Ariadne and the redeemer 'will he be a bull, a man, face of a man'.
P10	The galleries of stone which referred to Egypt and Greece of the classical period.
P11	The house that doesn't have locks, the names like Asterion and the vague references to the myth, Theseus, the 9 men that enter the house and they fall and his game like children who enter a maze and they hide.
P12	The infinity of the place, that he goes round and round and the 9 men that come.
P13	Theseus and Ariadne and the references to bulls in the last paragraph.
P14	Theseus and Ariadne, the ceremony and the 9 men that enter the house, who turns into the labyrinth, the temple of axes and the mother being a queen.
P15	I couldn't trace any.
P16	That there is no single piece of furniture and the number 'infinite'.
P17	No answer.
P18	No answer.
P19	The 9 men that enter the house.
P20	No answer.
P21	Theseus and the sword, the 9 men, the temple of axis and his solitude and loneliness.
P22	The reference to Ariadne and Theseus, the lack of doors that points to the maze and when he talks about seeing himself in the shadows.
P23	The galleries of stone and the 9 men that enter and fall to the ground. Also, the redeemer and whether he will be a man or bull and the people that prayed and fled.
P24	The dark place and that he was rarely coming out.
P25	I realised what the house was, the number infinite and the 9 men.
P26	When he says that some people gathered stones and they consider him a beast.
P27	Theseus, Asterion and the classical Greek reference, the numbers like 9 men and fourteen.
P28	I didn't trace any elements.

P29	No answer.
P30	The ceremony and the 9 men that enter the house and the idea of the redeemer.
P31	When he was running around.
P32	Not really.
P33	Not really.
P34	The repetition of the number 14, the 9 men who enter the house and the reference at the beginning that he is a royalty.
P35	The quotation.
P36	I didn't trace any elements.
P37	No.
P38	No.
P39	The number 14 and infinite became more applicable.
P40	No.

Q5 Any specific textual elements that you re-evaluated?

P1	The idea of madness, that he had to pretend, the closed doors and his arrogance
P2	Words like 'ram' brought to my mind the image of an aggressive and strong bull.
P3	No.
P4	'ram on charge', 'I bloody myself' and 'I deliver them from evil' that make him come across as fragile, 'open to man and animal alike, no furniture, the repetition of 'infinite' that gives you the idea of the maze.
P5	Yes, the Corridor, sword, and the phrase 'my mother is a queen'.
P6	The idea of the infinite corridor that alludes to the maze, and the 9 men that enter the house.
P7	It was very abstract and it became more concrete.
P8	Why he is kept and that he is not imprisoned.
P9	The faces of the people when he goes out, the common herd, when he says that he can't mix with common people and that he is unique, that he charges like a ram. Also the 9 men that enter the house and fall on the ground.
P10	The distractions that he refers to in the first paragraph and the tone of the story, he seems like an important person.
P11	That he is not a prisoner and the redeemer.
P12	People run when they see him, there is no piece of furniture in the house and the expression 'charging like a ram'.
P13	His limited intelligence and the ways people see him when he goes out, the 9 men who enter the house and when he talks about common people.
P14	Like a ram I charge.
P15	No.
P16	The number 14 and the lack of furniture, the 9 men who enter the house, that he bloodies himself which shows violence. Also the word 'redeemer' and that he delivers them from evil and the words 'star' and 'sun'. If it is a myth everything has a mythological understanding.
P17	The 9 men and the redeemer.
P18	No.
P19	When he talks about the 9 men and the redeemer and Theseus and Ariadne.
P20	I understood why he is in the house and the odd metaphor 'like a ram on charge' makes sense now. Also, what he says in the first paragraph about what happened when was recognised, now it makes sense as he looks different.

P21	Definitely, the meaning of the first line changed, and the expressions 'I am unique', 'like a ram on a charge' and the redeemer and whether he will be a man or a bull.
P22	The expression 'charging like a ram', the 9 men that enter the house every 9 years and they fall in the ground and the reference to the stars and the sun.
P23	The expressions 'like a ram I charge' which connects us with the animalist imagery, the doors of the house that are always open alluding to the maze, and his words that he is unique.
P24	I re-evaluated his isolation and the fact that 9 men come to the house and the reference to the redeemer.
P25	Only that the house was a prison and the maze.
P26	No.
P27	No.
P28	No.
P29	The 9 men and infinite doors.
P30	The meaning of the 9 men that enter the house.
P31	I understood better the beginning which was very unclear at the beginning.
P32	The 9 men and the redeemer, when he is wondering whether he will be a man or a bull.
P33	The reliability of his words and what he means by 'house', how much it is his prison and how much it is his feeling of feeling trapped. Also a lot of his statements like the fact that he is arrogant and he is unique.
P34	The only this is that he was going out and the reaction of the people, that he was pretending and inventing games in order to keep himself from going insane.
P35	When he says that he is trapped in the darkness.
P36	Yes, the reference to the ram and to the redeemer who will a man or a bull.
P37	The expression 'charging like a ram' and the connotation of royalty or god. This juxtaposes with the content of the story but later it makes sense.
P38	The bit about the redeemer where he says bull and man alike. I also understood the feeling of solitude.
P39	No.
P40	No.

Q6 Is there anything else that changed while you were reading/ that you would like to add?

P1	The story was abstract before and after the link its meaning become deeper. Literary quality of the use of the myth of the Minotaur.
P2	He establishes him like a prince and gives him a positive image but this is disillusioned by the text. The rich language and the suspense as well as the symbolic nature of the Minotaur add to the literary quality of the story.
P3	The myth and the language.
P4	The style and the perception of the narrator, the descriptions created the strange atmosphere of the story.
P5	I didn't enjoy the story, I found it monotonous. I like it the proclamation at the beginning but then I couldn't make sense he was insane, mad and boring.
P6	I enjoyed the story, it had many layers and the myth and the first person narration definitely gave it a literary quality, as well as the rhetorical questions and the different voices. At first I had trouble understanding it and I thought it was a metaphor, I read it as an allegory but then it made sense.

P7	I enjoyed the story a lot, the myth gave it literary quality and I particularly enjoyed the game that he was playing.
P8	I enjoyed the story, it was well-written and it became more concrete at the end.
P9	I don't have anything to add.
P10	It is interesting how you realise very briefly that he is the Minotaur, I enjoyed the story but it was somewhat vague.
P11	The story was hard to read and full of philosophical metaphors.
P12	It was very vague and mysterious, like a riddle, and it made more sense afterwards. I enjoyed reading it and the narrator was engaging and unique.
P13	The anger that is present in this text and in the original as well.
P14	I found it very confusing at the beginning and I enjoyed it a lot more at the end when I realised that he was the Minotaur. The story moved from vagueness to clarity.
P15	No.
P16	The idea of an ostracised individual.
P17	Nothing to add.
P18	Nothing to add.
P19	The story was very intriguing and there were a lot of shifts and complications. The structure of the sentences was weird.
P20	Nothing to add.
P21	The separate lines at the end, that move from very plain emotion to him being dead
P22	It was a very dense story, very intriguing and the myth absolutely contributed to its literariness.
P23	I thought that he was the son of someone important who was constantly scared and the last paragraph changed my reading.
P24	The story had a strange perspective, the narrator is selfish and he thinks that he delivers them from evil. He thinks he is their redeemer while he is waiting for his to come.
P25	No.
P26	In the third paragraph and the fact that he created the sun. The twist at the end and the use of the myth contributed to the literariness of the story.
P27	No.
P28	I have nothing to add.
P29	No.
P30	No.
P31	In general, I enjoyed the story
P32	No.
P33	No.
P34	I enjoyed the story. The narrator was contradictory and he wanted to shy away.
P35	I enjoyed it but it was a strange story. It is engaging because it is narrated in the first person and you get to see the feelings of the narrator and you can engage with them.
P36	I enjoyed the story but there style was archaic and there were difficult words and concepts like 14 meaning infinite.
P37	I enjoyed the story with the exaggerated style and the first person narrative.
P38	No.
P39	At the beginning I had the impression that it is going to be an allegory because of the ambiguity of the narrator and his clouding reality.
P40	No.

Q6 What do you remember from the Greek myth?

P1	I remember corridors, the ball of string and Theseus.
P2	I don't remember much. It was about a bull that was in a maze.
P3	Very little; there was a maze and a beast.
P4	The ball of string and the 9 men who are sent for punishment.
P5	I remember Theseus and Ariadne, that the Minotaur was imprisoned in Knosos, Crete, and that Theseus was given the thread by Ariadne to save the people from the Minotaur.
P6	The monster and the maze and that Theseus has to go in with a ball of string.
P7	Theseus has to go into the labyrinth, he has the ball of string and he slays the Minotaur.
P8	I don't remember much about it, only that he was kept away and he killed people.
P9	The Minotaur is a monster that lives in a maze and he fights.
P10	I think it takes place in Crete. Theseus takes the ball of string from the king's daughter. I think her name is Ariadne. He enters the labyrinth and kills the Minotaur and then they sail away.
P11	There is the Minotaur and the maze. He is a monster and Theseus killed him to save the people.
P12	I remember Theseus and the ball of string, that he goes through the maze, finds his way out, and slays the minotaur. He had some relation with the king.
P13	Theseus was sent to kill the Minotaur in the labyrinth and Ariadne gave him the thread.
P14	I can't remember many details, just the Minotaur and that he was a monster.
P15	I don't know the myth.
P16	The Minotaur, the labyrinth and that he was a bad monster.
P17	I remember the Minotaur, that he was in a labyrinth. Theseus arrived, Ariadne helped him to kill the Minotaur and then he took her with him.
P18	Minotaur is a half-man and half-bull monster.
P19	The Minotaur, Theseus and the ball of string.
P20	Minotaur is in the labyrinth and people had to go back there.
P21	The Minotaur was slayed and the labyrinth.
P22	I remember the maze, that the Minotaur was a monster and the story took place in Crete.
P23	Theseus goes to the island, meets the king's daughter, who gives him a ball of string so that he finds his way through the maze. He kills the Minotaur.
P24	I remember the monster called Minotaur, Theseus and that there was a labyrinth.
P25	Athens sends people every 10 years to be sacrificed. Theseus decides to go and I remember something about black sails. He meets Ariadne and kills the Minotaur. On the way back to Athens Ariadne is left on an island.
P26	I remember the Minotaur and the labyrinth.
P27	The Minotaur, Theseus going into the labyrinth and the ball of string that he had with him.
P28	Minotaur is a monster who lives in a maze.
P29	There was Theseus who had a ball of string and he killed the Minotaur.
P30	I don't remember very well... The Minotaur is a bestial character and it brings to mind cruelty, hell and sacrifice.
P31	That Minotaur was a monster.
P32	I remember the nine men, the Minotaur and Theseus.

P33	I don't remember much, just that there is a creature called the Minotaur.
P34	The nine men who enter the maze, Theseus and Ariadne, who gave him the ball of string. I think it was on an island called Crete.
P35	I remember the Minotaur, Theseus and the maze, the nine men who are sacrificed, killed by the Minotaur and the ball of string.
P36	I remember the Minotaur and Theseus.
P37	The Minotaur, the ball of string and the maze.
P38	That the Minotaur was a monster that lived in a maze and Theseus killed him.
P39	Not much, the Minotaur, Theseus, the ball of string.
P40	I remember the Minotaur, the maze, Theseus and the ball of string.

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