2. FROM THEORY TO METHOD

2.1 The Basic Strategy

As the first chapter would have indicated this study is mainly intended as a broad-based but tentative enquiry into the possible directions which stylistics could take, seeking to present a valid interpretative strategy through a practical analysis, which could possibly enable stylistics to offer itself as a significant heuristic tool in literary studies.

One of the main drawbacks of stylistics has of course been that stylistic interpretations have been unable to relate itself to the total aesthetic quality of a literary work, the establishment of which relationship seems mandatory if stylistics is to survive as a discipline. Moreover stylistics has a primary concern with style, which is in essence the total aesthetic quality of the work. Stylistics therefore has to take up the question of how total aesthetic structure could be related to pure form, realistically through mediating levels. The methods adopted in this study have evolved directly from this basic problem. For this purpose the first step was the identification of the textual content structure pattern which could be shown to be in relationship with or as being responsible for the aesthetic quality of the work, to which content pattern the linguistic level either directly or through a further mediating level should be relatable, i.e, the search was
for an integrating interface between aesthetic quality and pure form to which linguistic features could be convincingly related.

This search for the interface became simpler with the selection of narrative fiction as the object of the study, this selection mainly owing to the overprolificity of stylistic analysis on poetry, with narrative technique presenting itself as the most obvious choice. Two reasons supported this selection: (i) narrative technique being a formalisation of overall content structure patterns could convincingly be related to aesthetic quality and (ii) it would give a verifiability and objectivity to the movement from linguistic structure to semantic effects. The first step therefore would be to present the aesthetic quality of the literary works in terms of narrative technique, to be followed by an attempt at relating purely formal features to aspects of narrative technique. However two questions presented themselves at this point, the first regarding the nature of the aesthetic evaluation and the second regarding the extent and depth of the linguistic analysis.

2.2 On the Selection of Hemingway

The selection of Hemingway was the answer to the first question raised above, regarding the question of aesthetic evaluation.

If a stylistic analysis which has chosen narrative technique as the integrating interface is to present
itself as being capable of making objective assessments regarding the aesthetic quality of literary works. It should best be comparative in design, showing how varying aesthetic qualities have correlates with varying narrative techniques and this with varying linguistic patterns. That is, the study ought to be broad-based enough to allow it to develop a consistent relationship between aesthetic quality and form through the mediating interface of narrative technique. Moreover any study of the style of an author cannot limit itself to isolated texts. With these priorities existing, Hemingway presented himself as an ideal choice for the following reasons:

(i) he was acknowledged as a prose stylist, which comes closest to acknowledging that pure form has aesthetic force,

(ii) his writing exhibited a sharply differentiated early and later phase with differing aesthetic qualities,

(iii) the aesthetic quality of his writing at each stage of his career was perfectly exemplified in each of his four major novels, spanning twenty four years of his career, this opening up the scope for a comparative analysis and

(iv) more significantly, his four major novels presented a perfect symmetry in contrast in narrative technique, the first two novels being first person narratives and the last two being third person narratives, and within each narrative mode a further
contrast being opened up between the subjective and objective modes of narration, subjectivity being defined in terms of the narrator's attitudes to the narrated events; these contrasts could be presented thus:

![Diagram of narrative techniques]

Fig. 3. Pattern of Narrative Techniques in Hemingway's Four Major Novels.

After this selection of the four major novels of Hemingway it remained to be seen whether the linguistic levels of the analysis could be delimited to accommodate the vastness of the linguistic data without losing the shades of variations in form responsible for the variations, in narrative technique.

2.3 Levels of the Linguistic Analysis

Given that the linguistic analysis of each novel has to be related to narrative technique, which is a formalisation of overall content structure patterns, it was clear that isolated linguistic features could not be selected to be analysed in depth, as such an analysis could not hope to relate to all the different aspects of narrative technique. Secondly a complete and comprehensive analysis at all grammatical levels was
impracticable and impossible, given the vastness of the data. Since this study intended a movement from total aesthetic quality to overall content structure patterns and thence to the linguistic level, and, since the linguistic levels also exist in hierarchical relationships or ranks it seemed most feasible to relate overall content patterns mainly to the most general linguistic levels, the sentence and the clause and thence, if possible, to the level of the group or word, relating the lower levels to its immediately higher levels. It was therefore decided that this study would lay emphasis on the sentence and clause levels, examining only selected features from the levels of word or group.

2.4 Organisational Principles

Any literary study would have to offer significant insights into the nature and structure of the literary artefact, i.e., the emphasis should be on interpretation. The effort of this study is directed nearly exclusively towards relating linguistic structures to aspects of narrative technique, this interpretative strategy imparting an organisational coherence to the study and providing a sharply defined methodological perspective for making interpretative statements for the linguistic patterns identified in the different texts.

2.4.1 Narrative Technique: Significance for the Study

This study therefore has two main sections. The first is the more subjective impressionistic half
presenting a detailed examination of the narrative techniques employed in the four major novels, impressionistically assessing their aesthetic impact. The theoretical framework outlined earlier had stressed that the reader be placed at the centre of the interpretative process; narrative technique, it may be noted, is essentially a reader-centered mode of assessing the content/ aesthetic structure of the literary text which because of its formalisation provides a metalanguage to talk about reader-responses to the text. The reader-centredness of an analysis of narrative technique is evident in the constant variations in aspects of narrative technique which are only formalisations of reader-responses evolving during the process of reading. This section, presenting the analysis of narrative techniques employed is therefore an impressionistic but relatively objective assessment of the four novels of Hemingway, providing the essential background for the rest of the analysis. To make this background for the stylistics study proper more complete and to provide and evaluative perspective for the analysis of narrative techniques this section first presents the basic themes in Hemingway and short thematic sketches of the four novels, noting its main features and the changes in aesthetic quality between the earlier and the later novels. Though this first section of the study gains a degree of objectivity through its analysis
of narrative technique, interpretation being essentially a subjective process, this section also makes subjective interpretative statements, evident for example in the biographical interpretation offered for the changing content patterns and aesthetic qualities of the four novels, and sometimes in the aesthetic evaluations made for different aspects of narrative technique identified, these interpretations therefore being suggestive in nature.

Presented below is a brief sketch of the framework adopted for the analysis of narrative technique.

2.4.2 Narrative Technique: Framework of the Analysis

This study is indebted to Shlomith Rimmon-Kenan's study of narrative technique (1983) from which most of the insights have been adopted, with occasional modifications. The main points of her descriptive framework which have been incorporated into this study are presented below, with relevant terminology, in the form of a gloss.

2.4.2.1. Point of View, Focalisation and Narration

1. Point of View: Rimmon-Kenan has ignored this traditional aspect of narrative technique, preferring to examine this aspect in terms of its components narration and focalisation, because, as she discerningly and correctly notes, the agencies of both the perception and narration are theoretically distinct. However this study believes that point of view cannot be ignored as this
determines to a considerable extent the semantic significances of the different modes of focalisation and narration. Under point of view could be considered the possibility of the narrative being either a first person or a third person narrative.

ii. Focalisation: The agency of the focalisation is decided by the question 'Who sees?'

iii. External Focalisation: In external focalisation the agency of the focalisation occupies a position outside or above the story. In a first person narrative an external focalisation is a retrospective, flashback focalisation, while in a third person narrative the typical examples are bird's-eye view focalisations of the locale which occur for example at the beginning of Foster's Passage to India.

iv. Internal focalisation: Internal focalisation implies that the focaliser is within the story, often a character in the fiction. In a third person narrative the external narrating agent could also occupy an internal position for the focalisation.

v. Within focalisation of characters: In this mode the focaliser sees into the thought processes of the characters ('She was proud and haughty to the core of her malevolent character').

vi. Without focalisation: This is in contrast to within focalisation, the focaliser focalising the external behaviour or physiognomy of the character.
('Her hair was brushed back like a boy's) The external focaliser in a third person narrative could focalise a character from both within (having omniscient knowledge) or without, while the focalisations of an internal focaliser are confined to without focalisations, being himself/herself a character in the fiction, the only within focalisation of an internal first person focaliser are self focalisations.

vii. Perceptual facet focalisation: This implies that the focaliser is focalising events/situation through the senses; the perceptual facet focalisations may be visual ('I looked at the moon'), tactile ('The ground was soft') etc.

viii. Cognitive facet focalisation: This presents the focaliser mentally reacting to or assessing his situations ('She seemed on the verge of tears')

ix. Emotive facet focalisation: This presents the focaliser emotively reacting to the situation ('He shook his head like a flea-bitten mongrel')

x. Real and Virtual focalisation: Certain modifications made in this framework by this study may be noted. The first concerns focalisation in the retrospective first person narrative, regarding the nature of the focalisation, and proposes a further terminology for a necessary discrimination.

In a first person narrative, the internal focalisation is 'real', i.e. the focalised is an object in the immediate textual situation. But in a
retrospective focalisation, i.e., in an external focalisation in a first person narrative, the focalisation is virtual, the focalised object being a visualisation in the focaliser's mind's eye ('I last saw her in Paris in the late 70s'). Even within internal focalisation there could be pockets of external virtual focalisations especially occurring in 'summary' where the focaliser occupies a position outside the summarised events ('We spent the next five days on the beach'). Virtual focalisations also frequently occur in thought representations, which need not always be self-focalisations, as Rimmon-Kenan believes (1983:76) ('He lay in his cell quietly thinking of a cold beer'). Two further points may be noted regarding focalisation.

(i) External focalisation in a third person narrative is always by an unpersonified focaliser and real;

(ii) A perceptual facet focalisation is always prior to a cognitive or emotive facet focalisation, i.e., a cognitive or emotive facet focalisation is always also a perceptual facet focalisation (which may be real or virtual). The gloss on terminology continues.

xi. Narration: The agency of the narration is decided by the question 'who speaks'? For the purpose of assessing the aesthetic impact it is best to consider the narrator as a textual construct, rather than as the real author.

xii. Extradiegetic narration; Extradiegetic narration is
by a narrator who occupies a position above or superior to the narration. In a third person narrative, the narration is always extradiegetic and the extradiegetic narrator an unpersonified textual construct. In a retrospective first person the extradiegetic narrator is the protagonist.

xiii. Intradiegetic narration: This is a narration where the narrator occupies an internal to the story position narrating events as he focalises them. The narration is always intradiegetic in a first person narration when the focalisation is internal and real.

xiv. Hypodiegetic narration: A hypodiegetic narration is a narration within the narration by a character in the fiction.

xv. Narrative and Narration: The term narrative as used in this study stands for the verbalisation, while narration is an aspect of narrative technique.

As xiii. above indicates there is always a correlation between focalisation and narration with focalisation always being prior to narration. Three aspects of the relationship between focalisation and narration may be noted.

(1) As focalisation is prior to narration this aspect of narrative technique crucial is more crucial towards forming an assessment regarding semantic significance.

(11) Both internal focalisation when the narrator is the focaliser in a third person narrative and intradiegetic narration in a first person narration are
only objective stances which the narrator adopts towards the narrated events (a) because the focaliser in a third person narrative is not a character in the fiction and (b) because a first person narrator cannot theoretically narrate the events unless he has reached a point outside the story.

(iii) These two aspects of the narrative technique are interdependant; though focalisation is prior to narration there is no focalisation without narration which is the concrete manifestation of focalisation, and no narration without focalisation. What has to be noted is that in the text, at various points, either of these two aspects could be emphasised.

xvi. Speech representation: Narration could be either narration proper ('He stayed with us for five days') or could be a narration of speech or thought representation. This study follows Leech and Short's (1981:318-351) terminology while analysing these special narrational modes.

The norm in speech representation is Direct Speech (DS) which this study considers outside narration. But in narrative fiction, within narration there could be other indirect modes of speech representation: (a) a freer form of DS known as Free Direct Speech (FDS) characterised by the absence of quotation marks, and the present tense; (b) Indirect Speech (IS); (c) A freer form of indirect speech, called Free Indirect Speech (FIS), marked by the
use of past tense and the absence of the reporting clause; and (d) the Narrative Report of Speech Acts (NRSA); examples of each kind are given below:

- DS : He said, "I'll come back tomorrow."
- FDS : I'll come back tomorrow.
- IS : He said that he would come back tomorrow.
- FIS : He would come back tomorrow.
- NRSA : He promised to come back tomorrow.

According to Leech and Short, FDS sees maximum narrator effacement, while FIS, IS and NRSA increasingly assert the presence of the narrator in that order (1981: 334).

xvii. Thought representation: Categories of thought representation are similar to those representing speech: the following examples exemplify each mode:

- DT : He wondered, "Does she still love me?"
- FDT : Does she still love me?
- IT : He wondered if she still loved him.
- FIT : Did she still love him?
- NRTA : He wondered about her love for him.

In the text that these abbreviations have been used.

2.4.2.2 Time

The examination of this aspect of narrative technique also follows Rimon - Kenan having been examined under the rubrics of order, duration, and frequency.

xviii. Order: Order concerns the sequence of events in narrative fiction.
xix. **Analepsis.** An analepsis equates with the traditional terms of flashback; an analepsis presents an event after later events in the story have been narrated.

xx. **External Analepsis:** An external analepsis presents an event which happened before the start of story-time.

xxi. **Internal Analepsis:** An internal analepsis presents an event within story-time.

xxii. **Prolepsis.** This is the converse of analepsis and presents an event in the story situation before earlier events have been narrated.

xxiii. **Duration: Story Time:** Story time is the time interval in which the story occurs.

xxiv. **Duration: Text Time:** Text time is better seen as a spatial rather than a temporal measure, text-time therefore is the length of the narrative in pages.

xxv. **Pace:** Pace is the ratio between story time and text length. An ellipsis signals a passage in story time with zero text length: a summary presents a large story time in a short text length.

xxvi. **Frequency:** Frequency is the number of times an event occurs in the fiction.

xxvii. **Frequency:** Iterative event: Iterative events imply telling once what happened 'n' times.

The relationship between time and narration and focalisation has been taken up by this study in greater detail than Rimmon -Kenan does. Characterisation however has not been touched upon in detail in this study because
this aspect of narrative technique is mainly presented through implicational meaning, through the actions, dialogue, interpersonal relationships with the other characters, the manner of dressing etc. In this study characterisation is examined only when it relates to the aspects of narrative technique noted above.

While presenting a detailed examination of the content structure of the four novels through this analysis of narrative technique this section also covers the level of implicational meanings of situations/events in order to present the aesthetic structure of the four novels, as the semantic force of literature rests to a considerable extent on the implications of the discoursal situation, most of which could not be covered by a stylistic analysis proper.

2.4.3. The Linguistic Level

The second section (chs. 4, 5 and 6) forms the core of this study, the effort, as noted earlier being directed towards relating the linguistic level to the supra-sentential level of narrative technique, i.e. towards offering an interpretation for the content structure in terms of its formal manifestation, the verbalisation. In order to correlate purely formal features of the text to the narrative techniques exploited, the basic strategy adopted was a simultaneous formal and functional analysis of the four novels, the study incorporating the positive features of both
formalist and functionalist stylistics. The different procedures adopted for these two modes of analysis and the rationale for this method are presented below.

2.4.3.1 The Formal Analysis: Procedures

The formal analysis concerned itself with the classification and statistical tabulation (frequency counts) of formal features up to the level of the clause, statistical analysis beneath the level of the clause not being feasible owing to the vastness of the corpus.

The first purpose of this formal analysis was to formalise the style as linguistic idiosyncracy concept. It was also felt that this formal analysis could throw light on a very possible correlation between pure form and the differences in aesthetic quality discerned between the early and the later novels, and the subtly evolving variations in content structure organisation within each text. The analytical and classificational procedures adopted are presented below.

For the most part traditional classification and terminology have been retained and the statistical methods were the simplest as what seemed to be needed was a general assessment of formal quality and its relationship to meaning effects rather than detailed frequency counts and distribution curves at all linguistics levels which could not be convincingly related to the aesthetic structure of the novels and therefore would be without interpretative value.
At the sentence level sentences were classified into the grammatical categories of simple sentences (SS), compound sentences (CD) and complex sentences (CX), each category having the capacity of accommodating non-finite clauses. Simple sentences were further divided into minor simple sentences (S0), pure simple sentence (S1) and semi-simple (S2), a minor being one without a predicator or a main clause, a pure simple sentence consisting of a single main clause only and a semi-simple having non-finite elements; compound sentences into those with two clause strings (CD1) and those with more than two clause strings (CD2) with non-finite clauses being possible in both types. Corrected values for total SS and CD values for novels III and IV have also been offered (see App.p.1) because of the frequent occurrence of the clause reporting thought in these novels. For example:

Let us hope so, he thought. (IV:45) could be counted as CD1 sentence. But if this novel is to be compared statistically with the first two novels which have very few such reporting clauses, the above sentence has to be counted as an SS, ignoring the reporting clause. Therefore the corrected values are the values of SS and CD excluding the reporting clause.

At the sentence level a word count was also undertaken of all four novels and the frequencies and relative frequencies in different words per sentence ranges determined.
At the clause level clauses were first classified into main (independent) and subordinate (dependent) clauses. Main clauses were further classified into special types and co-ordinated types, the special types being the different mood clauses (declarative, interrogative, imperative and exclamatory), the existential construction, comment clauses and parenthetical clauses. The co-ordinated main clauses were classified into those with non-ellipsis of clause elements (Co-ord) those with ellipsis of subject (-S) those with ellipsis of both subject and predicate (-SP) and those with ellipsis of only the predicate (-P), examples of each type being given in the relevant section. The subordinate clauses were further classified on the basis of their grammatical functions into nominal clauses, adjectival clauses and adverbial clauses. Nominal clauses were further sub-divided into those functioning as subject (S) object (O) complement (C) or transposed It - subject (DI). Adjectival clauses were sub-divided into those functioning as qualifier of subject (S+), object (O+), complement (C+) and NP in the Adjunct (A+); adjectival clause also included the relative clauses of the It-cleft construction ('It was here *that the offensive was to start') and the adjective complement ('I am sure *he had never been in love in his life') and further subdivided into the defining and the non-detaining types. The adverbial clause was classified into those functioning as adverbial of time (AT), of
place (AP) of manner (AM), of reason (ARsn), of result (ARst), of condition (Aif) and of concession (Aconc.), their formal markers being the subordinating conjunctions. The non-finite clauses were also included in the count and were classified into the present participle clause (-ing), the to-infinitive clause (-to), the past participle clause (-en) and the verbless clause (Vb less). All the sentences of narration of all the four novels were classified as above and their frequencies and relative frequencies (percentages) determined, these being presented completely in Appendix A. The cumulative values of all these linguistic elements, their arithmetic mean or A.M (the norm in each novel), standard deviation (SD) and consistency value (CV) computed, the significance of the consistency value being that the lowest values indicated the element that was most consistent in the chapter or novel (the standard deviation was computed only to determine the CV; CV = AM/SD x 100). The overall formal qualities of the four novels as indicated through these counts and their significance in terms of correlation to content structure patterns are presented in Ch.4. The first section of Ch.4 seeks to show how even pure form has some aesthetic significance in literature, this significance becoming patently evident in the functional analysis which follows the formal analysis.
2.4.3.2 The Functional Analysis: Procedures

In juxtaposition with this formal analysis a functional analysis was also undertaken; it is this analysis which relates pure form to narrative technique. The main functional trends at each level were examined with the purpose of relating these functions to the content structure as exemplified in narrative technique. The main questions asked of all the formal features noted above were (i) 'What function does this linguistic element perform in the immediately evolving discoursal situation?' (ii) 'How does this function relate to or create aspects of narrative technique presented in the first section?', the second of these questions explaining why this study is an 'integrated' stylistic 'interpretation'. This study adopts Halliday's functional analysis of formal elements (1985) especially in the analysis of the subordinate clause types, where functional analysis of formal features were not available this study adopted its own functional classifications, for example in the analysis of simple sentences, compound sentences, the expletive construction, co-ordination, and adjectival clauses. These functional classifications were prompted by the purpose of relating formal features to narrative technique; however all relationships between these functional classifications and narrative technique have been established solely by this study. After having assessed the functional trends of the different linguistic features and their manifestation as aspects of
narrative technique they were related to the cumulative frequencies as presented in chapter 4, thus explaining the overall content structure of the four novels in terms of formal features, the aesthetic implications of these formal counts having been assimilated into their values by the discussion of narrative technique presented in chapter 3.

At the level of the group only selected features in the nominal, adverbal and verbal groups which were clear markers of aspects of narrative technique were examined, with no effort made to provide statistical substantiations. These feature were related either directly to narrative technique or to its immediately higher grammatical level, the clause. More detailed descriptions of the methodological strategies adopted have been presented in the appropriate sections.

Ch. 4 of this section presents the overall statistics for these linguistic elements and attempts a correlation between purely formal features and overall content patterns which were discerned impressionistically as a change in total formal/aesthetic quality from the earlier to the later novels and also presents an overall functional perspective through an analysis of the most general linguistic level, the sentence. Ch. 5 forms the core of this section presenting in detail the clausal functional analysis, while chapter 6 is a functional analysis of the group level.
2.5 **Delimitations and Limitations of the Study**

Two important delimitations/limitations may be noted:

1. The first limitation of the study is its expansiveness, attempting to offer explanation/interpretations for the aesthetic structure of the four novels, it therefore loses in depth what it gains in breadth. However, this basic general assessment is called for because a knowledge of the terrain is essential before one could plumb for depths. The delimitation to the clause level was a result of the overall perspective which was sought to be gained. It may also be noted that even at the clause level no functional or semantic analysis could hope to be comprehensive, therefore the features selected by the study for formal analysis and their functional interpretations are only presented to throw into focus what could be accomplished in a stylistic study informed by a sharply defined methodological/orientation perspective.

2. Another delimitation is that this study has not touched upon the use of dialogue in narrative fiction through which much of the characterisation, plot and overall emotive texture of the work is presented; this might seem a crucial limitation especially for Hemingway with his expertise in presenting all the subtle nuances dialogue in fiction but the effort of this study was only to determine how the various aspects of narration outside direct speech representation creates meaning significances through its forms. The next chapter