

Performative Hypothesis of Literary Discourse ¹

Shigeo Kikuchi
Osaka International University, JAPAN

1. INTRODUCTION

This article takes a functional view of language and applies its perspective to literary discourse, both poetry and prose. Following Ross's (1970) performative hypothesis on the basis of Austin's speech act theory, which argues that a declarative sentence consists of the performative part and the proposition, I assume that a literary discourse also has these two parts: the performative level, which consists of the author-reader level (speech act of narration), and the textual proposition. I argue that the propositional text is made of what I term 'discourse theme', which is mediated into the 'discourse rheme' by a 'mediating function' in a communicative and dynamic way. The propositional content of this variety of discourse is best viewed in terms of Halliday's (1967, 1994) extended concept of the text-forming functional-semantic component based on the Functional Sentence Perspective (FSP) of the Prague School linguists. The literary texts I discuss are Robert Frost's 'Stopping by Woods on a Snowy Evening' and Geoffrey Chaucer's *Troilus and Criseyde*.

In Esterhammer (1994), she focused on the performative part of a literary text. In this article, I will focus rather on the propositional part of literary discourse. Ross's performative analysis can be outlined as *Figure 1*:

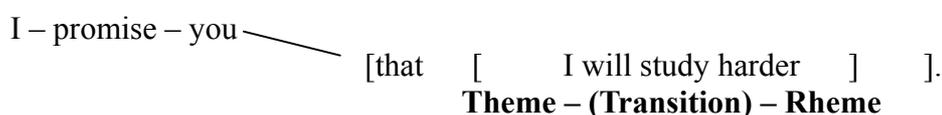


Figure 1
Performative framework of a sentence

Ross's approach sheds light on the fact that literary discourse is after all a communicative event between author (addresser) and reader (addressee). The functionalist view clarifies the fact that a whole literary text is like one propositional clause in Ross's framework in which the 'sequence of elements in the clause tends to represent thematic ordering' (Halliday 1967: 205), which could be represented as in *Figure 2*:

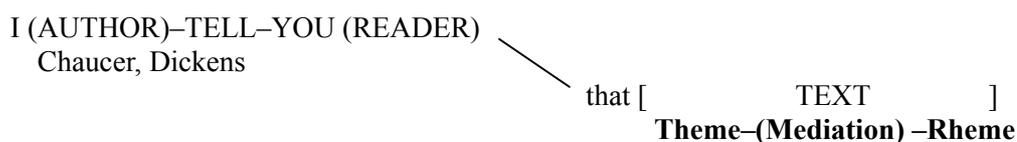


Figure 2
Performative framework of a literary text

2 A MULTI-LAYERED STRUCTURE OF LITERARY DISCOURSE

The communicative characteristics of a literary text are the source of coherence of literary significance. I assume that a message conveyed to the reader, or a fictional story told to the reader, manifests the same organization as a clause, in which, if unmarked, a theme presented in the early part of the unit is commented upon in the latter. I also argue that the theme in discourse, or ‘discourse theme’ to use my terminology, which is to be commented upon later, transforms itself or becomes mediated into the rheme in discourse, or ‘discourse rheme’, again my terminology, in a literature-specific fashion (For this, see *Figure 5*). By scrutinizing this thematic structure in literary discourse and the way it becomes mediated, it is possible to gain access to what the author consciously or subconsciously hopes to convey to the reader in a coherent way.

There are three major approaches that have been used for the analysis of narrative discourse. They are micro-structural, macro-structural and functional. In the micro-structural approach, discourse is viewed as process. The message-form-centered approaches as in Jakobson (1960) belong to this micro-structural approach. This approach could be called a bottom-up approach. On the other hand, in the second, story-world-centered, macro-structural approach like that of Todorov (1969), the text is viewed as an independent product organized irrespectively of the communicative framework. The third, social discourse approaches like Labov & Waletzky’s (1967) was designed to be applied to the examination of natural narrative. In some cases, the latter two have not been clearly distinguished and the third approach has been applied to fictional narrative as if there is no difference in nature between the two sorts of discourse. One example of this approach is that in Fabb (1997).

As I mentioned briefly above, to approach literary discourse functionally is to regard it as a speech act with the performative part and the propositional layer.

The framework of literary discourse of Keen (2003: 109), who argues ‘All narrative fiction has a discourse or textual level and a story world’, would be illustrated as in *Figure 3*:

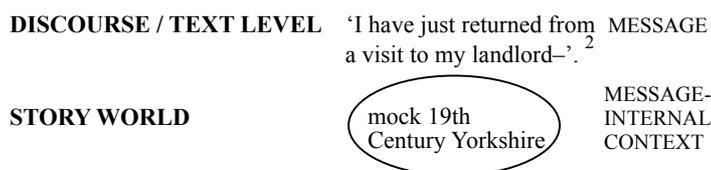


Figure 3

Communication framework of literary discourse in Keen (2003)

By supplying this structure with Ross’s framework (*Figure 1*) for the declarative sentence, it is possible to obtain *Figure 4*:

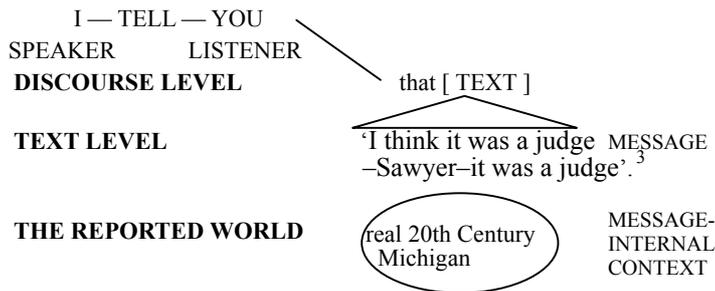


Figure 4
Communication framework of natural discourse

Does *Figure 4* then sufficiently represent the literary discourse framework? The answer is negative. In actuality, literary communication is more like that in *Figure 5*. Ross claims that all declarative sentences ‘derive from deep structures containing one and only one superordinate performative clause whose main verb is a verb of saying’ (Ross 1970: 259). As *Figure 5* shows, it is necessary to posit the layer of narrator in which the verb of saying is NARRATE TO. A literary text presents a fictional story as if it is real. The readers, knowing that the story is not real, enjoy the mock reality represented on the pages. And this is where the delight of reading literature lies. The readers take the box of broken dots in *Figure 5* for the framework of natural discourse as in *Figure 4*, though actually the boxed part is only a fictional world created by the author:

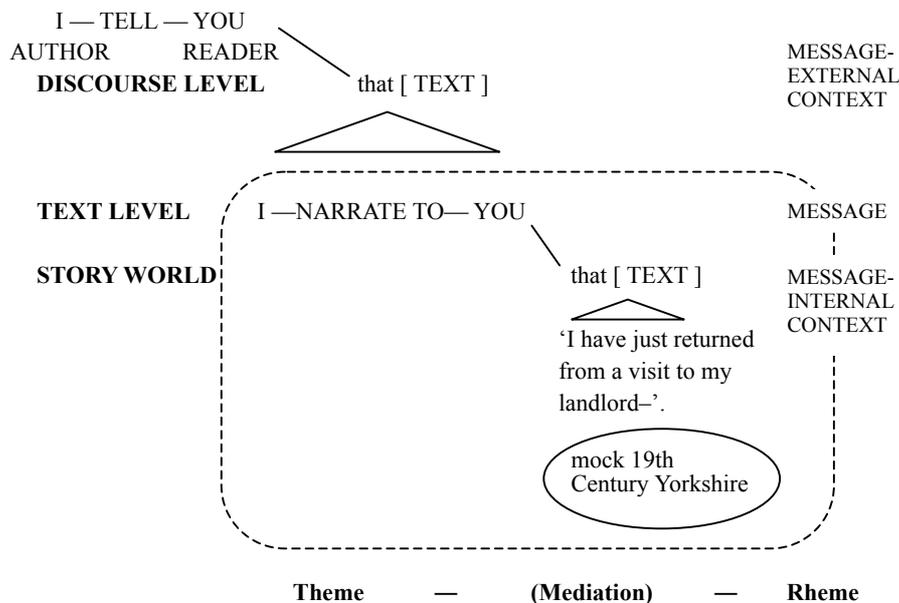


Figure 5
Communication framework of literary discourse

The readers enjoy this illusion. This is all right. However, some linguists and literary critics also mistake in their analyses the dotted part, or the story world, for the world represented in *Figure 4*. Between *Figures 4* and *5*, the communication frameworks are different, so it is not appropriate to apply a socio-linguistic model like Labov & Waletzky's to the dotted part in *Figure 5*.

3. HALLIDAY'S TEXTUAL FUNCTION: A LITERARY DISCOURSE AS A COMMUNICATIVE EVENT

Halliday (1994: 37) 'introduced the notion of a clause as a unit in which meanings of three different kinds are combined. Three distinct structures—ideational, interpersonal and textual—, each expressing one kind of semantic organization, are mapped on to one another to produce a single wording'. Out of these three structures, 'the one which gives the clause its character as a message' is a thematic structure, because 'in all languages the clause has the character of a message: it has some form of organization giving it the status of a communicative event... One element in the clause is enunciated as the theme; this then combines with the remainder so that the two parts together constitute a message'. I assume that a literary work, when also regarded as a communicative event, has the same structure.

In literary discourse, the addresser or the author raises an issue as the discourse theme, as if it were informationally 'given', already-known common ground between the communication participants (i.e., author and reader).⁴ The discourse theme then is followed by the author's comment upon it. This being the essential structure of a fictional story, literary pragmatics is not sufficient without the description of the discourse of author-reader level organized on the basis of the author's personal view of life.

4. THE MEDIATING FUNCTION THAT TRANSFORMS DISCOURSE THEME INTO DISCOURSE RHEME

4.1 Definition of equivalence, discourse theme, discourse rheme and mediation

In this section, I will define 'equivalence' in general and then go on to define discourse theme and discourse rheme, which are stored as equivalent units in a discourse theme system. Discourse mediation, on the other hand, functions on the syntagmatic axis to liquidate the oppositive quality of discourse theme and discourse rheme.

In Systemic-Functional Linguistics, or SFL, there are three basic strata for the description of language: the semantic, lexicogrammatical, and phonological; however, the number of strata one should consider in an analysis depends on the purpose of the analysis. In the analysis of a literary text, another level should be added to the above three: the textual, in the sense that the textual provides a context in which the units below the text occur. The textual, in turn, serves as a constituent in the environment above it. The unit of analysis for SFL is the text because the functional meaning potential of language is realized in text. Though text is the largest message unit expressed by the addresser in SFL, in a literary language, text is not exchanged in an

(2) (same constituent)

When Unit A and B share a feature or features at the level below Unit A and Unit B.

A	+	B
[a, b, c]		[a, d, e]
(e.g. ₁ Whose <i>woods</i> these are I think I know, .../ ₄ To watch his <i>woods</i> fill up with snow.)		

then Unit A and B are equivalent.

If (1), then (1) is necessarily (2); however, if (2), (2) is not necessarily (1).

(e.g. Line 1 and Line 4 share /nou/ at a rhyme position (thus (1)), and they are equivalent; in addition, these two rhyme words are the same constituent of the two lines in that they are rhyme fellows (thus (2)). From the standpoint of *woods*, these two lines are equivalent because they both have the same constituent (*woods*); however, these two woods are not in a parallel position, so not (1).)

In a text with a limited space for arrangement of units, like a short poem, a haiku, etc., the units to form a text with are only those at lower linguistic levels. These low-level units should be viewed from the perspective of their contribution to the content expressed by the total text in the context within and outside the text world. In a longer text such as Chaucer's narrative poem, Ishiguro's prose, etc., the lower level units have only limited significance in terms of their overall relations with each other in the entire text.

CONDITION 2 (condition for 'discourse theme' and 'discourse rheme')

If two parallel units, A and B, are to be in such semantic contrast as to be significant in the fictional world; or

If two linguistic units satisfy CONDITION 1 and the two units are in contrast in value (equivalent in contrast, and one is favourable in content to either a human being in general, or to the author,

then the favourable unit is discourse rheme (B); while the other with the unfavourable value is discourse theme (A).

CONDITION 3 (condition for 'mediation')

If two parallel linguistic units are oppositive in terms of one feature or more; and

If these linguistic units are followed by those of smaller opposition in scale; and

If these regressive differences lead to the denial of one ore more features in discourse theme,

then the linguistic units in smaller opposition can mediate discourse theme into discourse rheme.

4.2 Theme system

Firth (1957) originally defined 'system' as the abstract, theoretical representation of paradigmatic relations, in contrast with 'structure' for syntagmatic relations in which paradigmatic features become realized. What I term 'discourse theme' and 'discourse

rheme' are new additions to the systemic functional terms in paradigmatic relations. Furthermore, just as Systemic-Functional Linguistics is a theory that views language as a social semiotic, a resource people use to accomplish their purposes by expressing something in context, so my theory views a fictional text as a social semiotic, that is, a resource the author resorts to when implicitly expressing something with it.

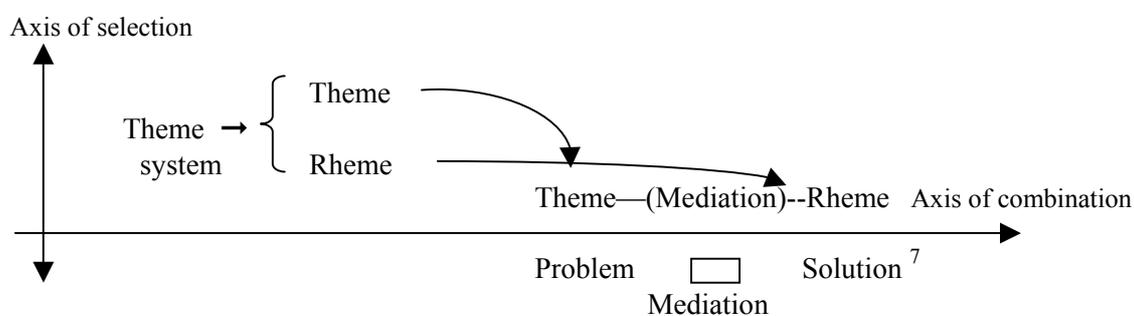


Figure 6
System of discourse theme

The graphic representation in *Figure 6* shows that the theme system is also a system from which an element is to be chosen. Just as the system is for considering the choices that are available for a certain type of clause, 'imperative' or 'subjunctive', for example, so theme / rheme at the discourse level is also chosen from the theme system. The stylistic characteristics each author has are realized, phonologically, morphologically or lexically, or according to Roger Fowler's 'mind style' (Fowler 1977: 2),⁷ at the levels below the theme system.

5. THE TEXT-FORMING FUNCTION IN LITERARY DISCOURSE

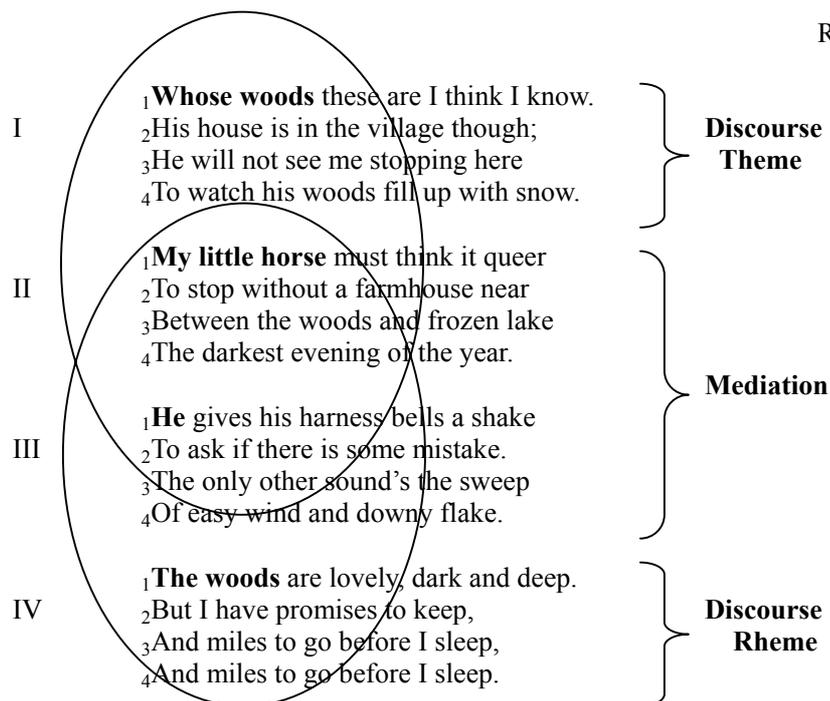
Now I will give a brief analysis of thematization and mediation in two literary works. The first text I examine is a work which is thematized round the bottom of the linguistic levels like phonology, morphology and lexis. The second text is rather long and thematization occurs at higher linguistic levels like episode.

5.1 Frost's 'Stopping by Woods on a Snowy Evening'

In Robert Frost's four-stanza poem entitled 'Stopping by Woods on a Snowy Evening', the four opening phrases at each stanza show a significant parallelism which reflects the thematization structure.

Stopping by Woods on a Snowy Evening⁹

Robert Frost



The state of possession, in which the two key referents ('woods' and 'horse') are situated, determines the main thematic trend of the text: the process of something eternal engulfing the possessed, and then the possessor. These two referents are linguistically realized in the four stanza-opening items. In the peripheral stanzas, I and IV, the first key word *woods* opens the stanzas; on the other hand, a grammatical subject co-referring to the same *horse* starts the central two stanzas, II and III which, I assume, hold the role of mediation.

The order of these stanza-opening thematic words (*woods – horse : horse – woods*) reverses the semantic drift of the whole poem. The phrases which open the first two stanzas, I and II, are all accompanied by some possessive pronoun (*Whose woods ; My little horse*) as if to give them a general notion of POSSESSION; whereas, the opening phrases in the last two stanzas, III and IV, lack such a pronoun, creating in the second half of the poem a scene in which the possessor retreats into the background (*He (=horse) ; The woods*). This disappearance of possessive pronouns looks superficial because as long as factual coherence, as well as grammatical cohesion, remains, it is linguistically quite natural that the second co-referential term should be pronominalized or referred to with a definite article. In poetry, however, every single choice of phrasing is made purposefully. In this work too, the disappearance of possessive expressions iconically reflects this work's rhematic idea that all the relationships based on possession from outside and the possessor of them are after all destined to be lost; therefore, people should live on with words of future 'promises' with fellow humans in mind, for people internally possess them and never lose them. Depending upon whether the phrase has a binary feature of [+POSSESSIVE PRN] (PRN=pronoun) or [-POSSESSIVE PRN], the semantic relationships holding between these discourse structure-reflecting items would be thus diagrammed as in *Figure 7*:

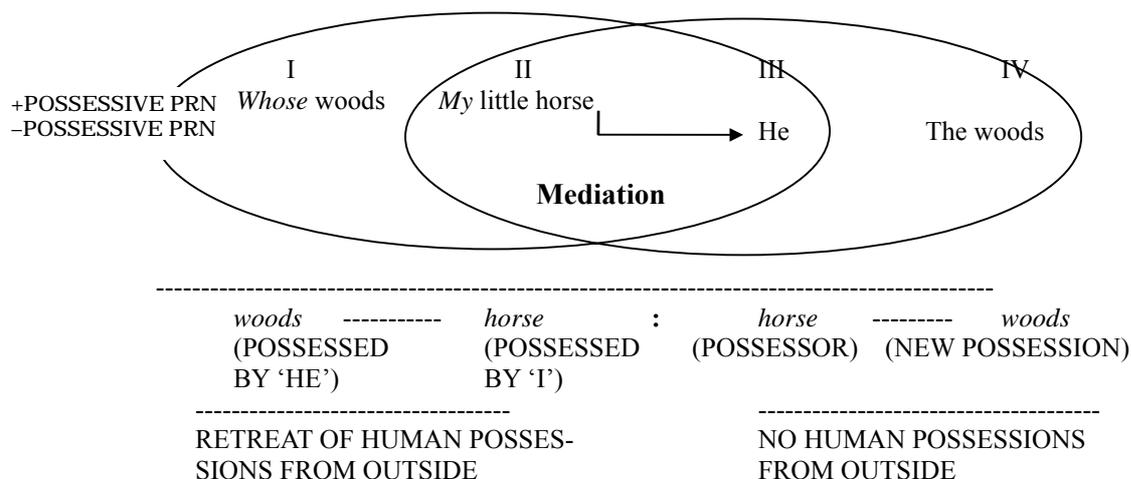


Figure 7

A change of possessorship: from POSSESSED to POSSESSOR

Paralleling the two contrastive flows of thematic meaning (*woods – horse : horse – woods*), the arrangement of end rhymes is neatly divided into two types. The first half of the text exhibits rhymes ending with diphthongs (/ou/ and /iə/), with no consonant following (one exception is the odd-rhyme *lake*): *know–though–here–snow*; *queer–near–(lake)–year*. By contrast, all the rhyme words in the second half end with consonants (/eɪk/ and /i:p/): *shake–mistake–sweep–flake*; *deep–keep–sleep–sleep*. This vowel / consonant distribution corresponds to the thematic opposition that I discussed above. In this poem, each third-line rhyme becomes the source for the major rhyme in the stanza following, linking them together in a chain (a variation of *terza rima*): I-1 *know*, 2 *though*, (3 *here*), 4 *snow*; II-1 *queer*, 2 *near*, (3 *lake*), 4 *year*; III-1 *shake*, 2 *mistake*, (3 *sweep*), 4 *flake*; IV-1 *deep*, 2 *keep*, 3 *sleep*, 4 *sleep*. (Note that only the fourth stanza has the same rhyme /i:/ for all the four lines.) The first end rhyme /ou/ and the last end rhyme /i:p/ are in sharp contrast in terms of ‘back’ or ‘front’ in vowel articulation. This distribution accords with the arrangements of other verbal items to support the thematic mediation realized in the text. The rhyme scheme thus parallels the thematization framework of ANTERIOR (I, II) and POSTERIOR (III, IV), the same parallelsim as realized in the stanza-opening phrases.

As this brief analysis shows, this poem is organized according to the patterning of ‘discourse theme – mediation – discourse rheme’, manifesting its patterns at the lower linguistic level in items such as end rhymes and grammatical subjects occurring at the head of each stanza.

5.2 Chaucer’s *Troilus and Criseyde* and *Criseyde*¹⁰

Behind Chaucer’s *Troilus and Criseyde*, there is also the thematization patterning realized at the higher linguistic levels like episode. Before discussing the exchange system in *Troilus and Criseyde*, however, I would like to take the Reeve’s Tale in the

Canterbury Tales as an example of Chaucer’s quasi-reciprocity system based on the thematization framework. The reason why I examine the Reeve’s Tale is that the thematized reciprocal structure of this tale provides a clue to access a much longer and more complex text of *Troilus and Criseyde*. The reciprocal Episodes in the Reeve’s Tale can be tabulated as follows:

RT 1. Sly proud miller steals half a bushel of flour from two students	2. Students take his wife and daughter in revenge	3. The truth is revealed	4. Miller is surprised	5. Miller delivers student a blow in revenge	6. Wife is surprised	7. Wife mistakenly harms her husband and students retrieve their loaf and flour
UNFAIR POSSESSION	‘FAIR’ POSSESSION 1	(Divine Providence and Resistance to / Acceptance of it)		‘FAIR’ POSSESSION 2		
Discourse Theme		Mediation		Discourses Rheme		

Table 1
Deceptive Exchanges in the Reeve’s Tale

Each Episode is numbered according to its temporal order of occurrence (1–7) and all the Episode units are bundled into the more abstract narrative category of either ‘FAIR’ (=deceitful) or UNFAIR POSSESSION. (FAIR is placed in quotation marks because it is not really ‘fair’.) Deceitful ‘FAIR’ POSSESSION 1, which consists of only Episode 2 in this tale, is usually accompanied by either a positive or a negative reaction by the participants. If the participant is satisfied with deceitful ‘FAIR’ POSSESSION 1, the story ends there; but if not, it repeats the Episode cycle from UNFAIR POSSESSION (Episode 5). If ‘FAIR’ POSSESSION 1 causes a negative reaction, like ‘anger’, on the side of the participant, it triggers the repetition of the cycle and, after UNFAIR POSSESSION comes ‘FAIR’ POSSESSION 2, and the story ends there.

The Reeve’s Tale presents simple and clear exchanges of ‘a blow’ and ‘a counter-blow’ between the characters. If it is possible to tentatively posit that Character A, who unfairly GETS a blow from Character B, is IN ETHICAL CREDIT WITH Character B, or Character B is IN ETHICAL DEBT TO Character A; or in other words, Character A unfairly receives ‘a blow’ which should not be with the character, then in the Reeve’s Tale the miller is IN ETHICAL DEBT TO the students because the miller GIVES an unfair blow to the students (the miller steals flour from the students; as a result, he unfairly possesses the flour which should not belong to him). By contrast, the students are IN ETHICAL CREDIT WITH the miller. This unfair state of possession must be adjusted. In Episode 2, the students use up their CREDIT with the miller by taking revenge, by TAKING his wife and daughter at night. The account is then ‘balanced’. When the miller

learns the truth in Episode 3, that the students TOOK his wife and daughter's chastity, the story would end if he did not become 'angry' but accepted the situation quietly. As the miller becomes 'angry', however, and revenges himself on the students by DELIVERING one student a new blow, the cycle returns to the unfair state. And since in this state the miller is IN ETHICAL DEBT TO the students, he must repay his DEBT to the students. The second counter-blow, however, does not come from the students but from the miller's wife. She mistakenly deals her husband a blow, and the 'fair' state of possession is restored in the textual world.

This reciprocity is, however, deceptive. It is not a true reciprocity, because 'GETTING flour' is not equal to 'GETTING wife and daughter'. The flour could be returned to the original owner. On the contrary, what is lost in the second event (i.e., chastity) cannot be returned. Thus every time 'blows' are exchanged, they are, as it were, 'taxed', or the DEBT increases as interest is added. The miller ultimately has to repay a DEBT made heavy with a great deal of 'interest' or 'tax', which grew from his minor transgression. If the pattern in Table 1 is followed, 'Miller steals flour from the students' can be said to be paired with 'Miller loses the flour he stole and the chastity of his wife and daughter'. The latter part, that is the chastity of his wife and daughter he loses, is the 'interest' or 'tax' the miller had to pay.

Troilus and Criseyde also accords with this thematization pattern. *Table 2* shows a reciprocal network of exchanges in *Troilus*, which consists of four full cycles of Episodes (① 2 – 7; ② 8 – 11; ③ 12 – 15; ④ 16 – 18) and one imperfect cycle (Episode 1) that will be paired later with (Episode 18) and become a full cycle which is not told in the tale. Each full cycle consists of a pair of episodes of 'FAIR' POSSESSION and UNFAIR POSSESSION. The 'FAIR' POSSESSION presented to compensate the UNFAIR triggers a participant's reaction to it, which is either for or against Providence.

Tr	1. Paris (T) kidnaps Helen (G) from Greeks			

	2. <i>Criseyde (T) wins Troilus (T)'s heart</i>	3. <i>The truth (Cr's presence) is revealed</i>	4. <i>Troilus is surprised ('astoned')</i>	
		5. <i>The truth (Tr's secret presence) is revealed</i>	6. <i>Criseyde is surprised</i>	
	7. <i>Troilus (T) gains Criseyde (T)</i>			

	8. Trojans assault Greeks and Greeks (G) capture Antenor (T)	9. The truth (exchange) is revealed	10. Troilus is surprised ('no word')	
	11. Greeks (G) gain Criseyde (T) (and Antenor (T) returns to Troy) (G take Cr (T) and T regain Antenor (T))			

	12. Criseyde (T) wins Diomedes's (G) heart	13. Diomedes (G) gains Criseyde (T)	14. The truth (infidelity) is revealed	15. Troilus is surprised ('ire')

	16. Troilus (T) rages in the battle and Greeks (G) take Troilus's life (T)		17. Narrator is surprised ('Swich fyn')	18. Troilus (T) gains heaven in exchange for his life and love
				(Troy loses Troilus and suffers destruction)
	UNFAIR POSSESSION	'FAIR' POSSESSION 1	(Divine Providence and Resistance to / Acceptance of it)	'FAIR' POSSESSION 2

(The *italic type* stands for the Private world, the Roman for the Public, and **the bold** for the Celestial)

Table 2
A Balance Sheet of Love in *Troilus and Criseyde*

The major part of the Table represents a network of mediations between the two polar events: ‘Paris’s kidnapping of Helen (breakout of the Trojan War)’ (the Trojans IN DEBT TO the Greeks) (Episode 1) and ‘Destruction of Troy (end of the War)’ (the Trojans repay their DEBT to the Greeks) (Episode 18). Between these two paired events, there lies a series of mediating exchanges:

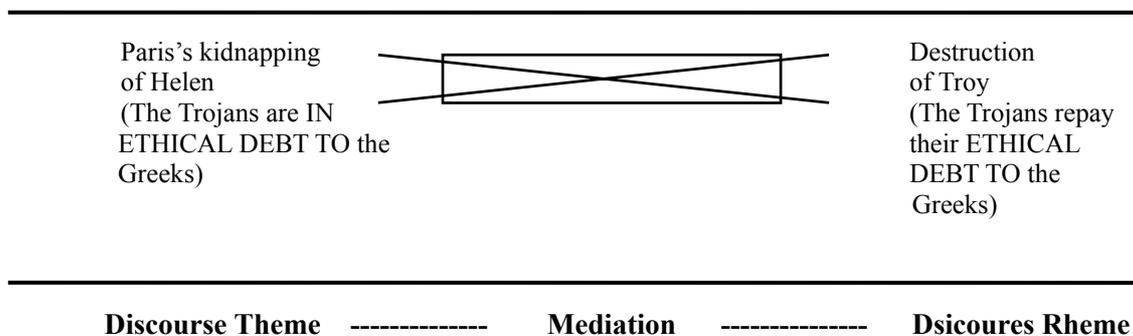


Figure 8
The Two Unfairly Mediated Events

Figure 8 illustrates the two polar functional meaning of the text-mediated stages of unfairly paired events. Paris’s (T) kidnapping Helen (G) from the Greeks is unfairly equated with the destruction of one state, Troy.

Troilus and Criseyde is essentially a story about the love between the two Trojans, since the narrator says that ‘how this town com to destruccion / Ne falleth naught to purpos me to telle’ (Tr 1.141–142). However, by telling of their love, and by having their love story mediate the cause and effect of the Trojan War, Chaucer tells that the Rape of Helen is unfairly paired with the destruction of one state. Whether this reflects an actual rape scandal in which Chaucer was involved or not is clear, but Chaucer’s rhematic idea through this work is that a rape case and a destruction of a state are unfairly equated.¹¹

6. CONCLUSION

In this article, by applying Ross’s framework of performative hypothesis for a declarative sentence, I examined the thematic structure of literary discourse. I contended that every literary discourse consists of the functional super-structure that is equivalent of the performative sentence, in which author narrates to reader, and the proposition that the performative super-structure expresses. I also proposed that inside the proposition the thematization and mediation works, dividing this part into what I term ‘discourse theme’, ‘discourse rheme’ and ‘mediation’.

NOTES

1. This article is based on the earlier version in ERA Special Issue, edited by the English

- Research Association of Hiroshima, Hiroshima University, forthcoming.
2. This is an inaugural phrase of Emily Brontë's *Wuthering Heights* (Project Gutenberg: <http://www.gutenberg.org/files/768/768-h/768-h.htm>).
 3. A passage of 'Orientation' from W. Labov & J. Waletzky (1967) 'Narrative Analysis and Oral Versions of Personal Experience', in J. Helm (ed.) *Essays on the Verbal and Visual Arts: Proceedings of the 1966 Annual Spring Meeting of the American Ethnological Society* (Seattle: University of Washington Press), 12–44.
 4. And it is as natural to focus on addressee when discussing communication as on addresser. In this article, however, I will focus just on the addresser's role in the thematization of the text.
 5. As Figure 6 shows, parallelism is explicit realization of equivalent terms (whether (+)A + (+)A or (+)A + (-)A or (-)A + (+)A or (-)A + (-)A) on the chain axis. Discourse theme and discourse rheme are realized in parallel fashion.
 6. See Frost's 'Stopping By Woods on a Snowy Evening', in Section 5.1.
 7. It is possible to regard the framework in *Figure 5* as a variety of that represented in *Figure 4*. In *Poetics*, Aristotle (1995: 55) argues that all the narrative has a structure of Beginning – Middle – Ending. Herman (2003: 2) views events as a time- and space-transition from Source State S (e.g. a battle is imminent) to Target State S' (the battle has been won or lost). In the discussion of 'aboutness' in a scientific paper, Hutchins (1977: 9) represents this form as follows:

the 'problem'	{	statement of 'current' hypothesis
		tests of hypothesis
		disproof of hypothesis
		statement of 'problem'
the 'solution'	{	statement of 'new' hypothesis
		tests of hypothesis
		proof of hypothesis
		statement of 'solution'
- In other words, a problem-solving thematic structure of a narrative, whether natural or fictional, takes the following form: ISSUE → X → SOLUTION
8. 'Mind style' is defined in Fowler (1977: 2) as follows:

The study of mind style therefore involves the identification of linguistic patterns that accounts for the perception of a distinct world view during the reading of a text. The notion of 'patterns' is particularly important here. Mind style arises from the frequent and consistent occurrence of particular linguistic choices and structures within a text.
 9. The poetry is quoted from R. Frost (1923) *New Hampshire* (New York: Henry Holt). I followed the punctuation of this first edition.
 10. This section was originally published in Kikuchi (2001) and reprinted in Kikuchi (2007).
 11. 'On May 1, 1380, a certain Cecily Champaigne released Chaucer of every sort of action "tam de raptu meo, tam de alia re vel causa". It has sometimes been supposed that this referred to an act of physical rape,...' (Chaucer 1957 xxiii).

TEXTS USED

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