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**COGNITIVELY WRITING : EXAMINING THE WRITER-  
READER DYNAMIC IN CREATIVE WRITING**

**MEMORIA PARA OPTAR AL GRADO DE DOCTOR  
PRESENTADA POR**

**Matthias Krug**

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Enrique Bernárdez

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“Escribir cognitivamente: analizando la dinámica escritor-lector en la escritura creativa”

PhD THESIS by Matthias Krug:

**‘Cognitively Writing: Examining the writer-  
reader dynamic in creative writing’**

*Universidad Complutense de Madrid*

Director: Cat. Dr. Enrique Bernárdez

*Directed by:  
Cat. Dr. Enrique Bernárdez*

**Doctorado en Lingüística y Literatura Inglesa y Norteamericano  
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## 1. Introduction

*“I still believe, though, that it is very bad for a writer to talk about how he writes. He writes to be read by the eye and no explanations or dissertations should be necessary. You can be sure that there is much more there than will be read at any first reading and having made this it is not the writer’s province to explain it or to run guided tours through the more difficult country of his work.”*

- **Ernest Hemingway, in The Paris Review (Issue 18, Spring 1958).**

A successful writer writes to be read. Hemingway confirmed this notion when he said that a writer ‘writes to be read by the eye’. To write successful literature, a cognitive approach to writing is therefore needed; that is, writing with the expected readership very much in mind. *Cognitively writing*, the term developed here, means taking into account the mental thought processes of the reader and, if the writer has enough experience and *mastery* of the domain of fiction writing to do so, actively developing a dynamic relationship between the cognitive mechanisms of the writer and those of the reader. This notion, alluded to above by Hemingway and referred to in this study as the ‘writer-reader dynamic’, is achieved through the linguistic end product of the writer’s words on paper (or on the computer screen in the modern era of digital publishing). Thus we have arrived at the essence of creative writing, that cognitive activity which finds its final outcome in the realms of published literature, if and when it is successfully implemented.

Why not, then, entitle this study with the term ‘literature’ rather than the broader domain of creative writing? The answer can be found in the creative nature of the overall

project of this PhD project, which also includes the writing of a novel on the part of the current author, one that is to be employed in order to explain the development of the procedural analysis method (in section 2.2) which is utilized in this study. After introducing this analysis method and the relevant literature (section 3), this study shall move on to examine the ‘writer-reader dynamic’ in some of the most important works of 20<sup>th</sup> Century literature, which are presented in the here following corpus of literature (section 2.1). At the heart of this study, then, lies the central assertion that writing is essentially a dynamic activity with a keen sense of direction towards the intended audience.

But is it not possible to shake this foundation with the simple counter-assertion that some writers indeed write for themselves, with the twin aims of publication or being read and the associated recognition never on their agenda? Of course many creative writers, young and old, belong to this category. And there is nothing at all wrong with writing without wanting to be read. But for those emerging writers wishing to make the often seemingly impossible leap across the large Grand Canyon of self-doubt to join those established writers who have already done so and have landed on the other side of published writing, without hurting themselves all too greatly in the process, the cognitive relationship with the reader is indeed one of the most important factors in transforming the private sphere of creative writing into the public arena of world literature.

One of the greatest exponents of world literature at the moment of the writing of this study is Mario Vargas Llosa<sup>1</sup>, the winner of the 2010 Nobel Prize in Literature who also

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<sup>1</sup> See Appendix 1, taken from [www.ucm.es](http://www.ucm.es), announcing the Nobel Prize in Literature 2010 award to Mario Vargas Llosa as a former doctoral student of the Universidad Complutense de Madrid. In praising Vargas Llosa’s research it reads: “Una obra magnífica, ejemplo de la mejor crítica, que pone de relieve el portentoso talento literario de los dos autores, el crítico y el criticado. Dos colosos de la literatura en lengua

wrote his doctoral study<sup>2</sup> at the Universidad Complutense de Madrid, thus contributing to a strong literary tradition at this university. Talking as the current Nobel Prize winner in Literature upon his return to the university in May 2011, Vargas Llosa said:

“It was very touching for me to return after so many years to a place which, in many ways, symbolizes the years of my youth”<sup>3</sup>. Furthermore, when asked about religious fanaticism with regards to the death of Osama Bin Laden some days before the event, Vargas Llosa turned his reply into a celebration of what he called ‘creative fanaticism’: “If you take the case of a writer like Flaubert, you can only take about fanaticism to describe the manner in which he dedicated himself to his vocation, and how he decided to be a genius. It’s really a wonderful case. It helped me a lot when I began to write; the case of a writer who began as such a bad writer, but who had such an enormous will power to be a great writer that he succeeded, based on discipline, perseverance, a fanaticism which doesn’t harm anyone. He was able to overcome the enormous limitations of his youth, when he began writing. I think behind geniuses like Flaubert you find attitudes which you can describe as being fanatical; musicians, painters, architects, all moved by the idea of achieving something which

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española que muchos años después tienen en común, con todo merecimiento, el Premio Nobel de Literatura.”

<sup>2</sup> Vargas Llosa, Mario - "García Márquez : lenguaje y estructura en su obra narrativa". Tesis Doctoral de la Universidad Complutense de Madrid.

<sup>3</sup> Translated by author of this doctoral thesis, from the Mario Vargas Llosa speech at ‘Conversación en la Universidad’, event during the ‘I Semana Complutense de las letras’ on May 4<sup>th</sup> 2011. See also Appendix 7.

hasn't been done before. So fanaticism has two faces. The destructive, religious, intolerant fanaticism, and this type of creative fanaticism which we have to admire.”

This extract of the talk given during the I ‘Semana Complutense de las Letras’<sup>4</sup> lends key insights into the ‘worldly input’ of the writer, a concept which shall be elaborated in the introduction of the procedural analysis method (section 2.2) to follow. It was indeed during the same writer’s week in Madrid that my first novel ‘Selfishness’ was launched on the Universidad Complutense de Madrid writer’s platform<sup>5</sup>, and the insights of this novel’s writing and editing process shall be examined with regards to the analytical methodology developed in this study.

The gap for this qualitative study may be discussed on hand of the following extract from the doctoral thesis of Vargas Llosa: “Intentar una descripción del proceso de la creación narrativa a partir de un autor concreto: cómo nace la voluntad de creación, de qué experiencias se alimenta, mediante qué procedimientos transforma los materiales del mundo real en elementos del mundo fictivo...”<sup>6</sup>

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<sup>4</sup> Furthermore, besides being a focal point of such important literary initiatives as well as excellent research in the field of literary analysis, the Universidad Complutense de Madrid has also over the years become a hosting point for literary events like the book presentation of Umberto Eco’s latest novel, ‘El Cementerio de Praga’ (see also appendix 6).

<sup>5</sup> ‘Selfishness’ a novel by Matthias Krug. Puesto el 3 de Mayo de 2011 a las 12:31

New novel by Matthias Krug, in English language, for free download in PDF format. Right here:

[http://www.ucm.es/BUCM/escritores/matthias\\_krug/obras/obr1900.pdf](http://www.ucm.es/BUCM/escritores/matthias_krug/obras/obr1900.pdf)

In celebration of the I Semana Complutense de las Letras (3-6 May), with the visit of the 2010 Nobel Prize winner in Literature Mario Vargas Llosa to the University Complutense de Madrid on May 4th 2011, and as part of my doctoral study I've decided to offer my first novel 'Selfishness' for free download to all interested readers on this writer's portal.

<sup>6</sup> Mario Vargas Llosa, Doctoral Thesis UCM: 2. My translation: “To attempt a description of the narrative creation process, on hand of a single author: how is the creative process born, with which experiences is it

Thus the very same interest in the process of creation, albeit focusing here on five different authors rather than one as is the case in the above-mentioned study, is complemented in this research by a cognitive-linguistic approach which also takes into account the impact that a work of fiction has upon its reader.

Having established this vital link between writer and reader<sup>7</sup> in successful published literature, it is then necessary to focus on the umbilical cord which binds the two together: the words which a writer produces. This will be a key phase in the analysis method to follow in that it forms the most essential evidence of the writer’s ‘cognitive intentions’, that being the most essential mental impulse for writing the work of fiction. Quite contrary to the proceedings involved in the creation of a human being, this umbilical cord is established not after the creation of the idea in the writer’s mind, but rather when the final linguistic end product has been produced after the long, arduous, maddening and at a few rare times rewarding process of writing, editing and publishing. This entire creative process shall be taken into account in the analysis method of this study. As shall become evident in the Results and Analysis (section 4), the initial worldly inspiration and writing stages are then followed by successive and equally important stages of editing and publishing of the book. So what is involved in the creation of a work of fiction is indeed an entire process, from the first fertilization of the idea in the author’s mind, to the printing of the linguistic end product. All these various stages leading up to and following the actual printing of a book should be taken into account in the cognitive analysis of literature, as this thesis will propose.

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augmented, through which procedures are the elements of the real world turned into those of the fictive world.

<sup>7</sup> Hereafter referred to simply as the writer-reader dynamic.

In terms of the writer-reader dynamic, the transition point of the writer’s initial idea is indeed the moment when the publishing process has been completed; a happy day indeed for the single parent that is in most cases the author. The newborn book emerges one day through the mail flap of the writer. It soon takes on legs of its own and finds its way into individual homes in the private domain, the number of which often tend to determine the notion of the commercial or critical ‘success’ of a novel<sup>8</sup>. And it is precisely at this stage at which the umbilical cord of the writer-reader dynamic is to be connected to the reader. These words, this language of poetic industry, ecstasy and at times dismay, which has taken such a long while to take on its final form, will form the basic nutrition of the reader’s mind in the receptive part of the equation. The essence, the cord connecting reader and writer, has been activated. The feeding of the reader’s mind with the linguistic devices which shall be examined in detail in the Results and Analysis (section 4) of this study, those tools which the writer has been polishing in the entire creative writing process - metaphors, image schemas and word choices and compositions – is set to begin. And it is at this stage that the reader’s influence in the writer-reader dynamic becomes entirely evident, for there is the one-sided option to disconnect the cord and simply put down the book because it does not continue to capture the reader’s interest and maintain continued receptive attention.

Thus taking the reader’s receptive impact as a starting point for the analysis, selected literary works of Franz Kafka, Jorge Luis Borges, Ernest Hemingway, Vladimir Nabokov and Gabriel García Márquez, each important and epoch-shaping authors of their time, and each utilizing important and innovative linguistic and cognitive mechanisms in their

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<sup>8</sup> Is it a bestseller? Can the author refer to any accumulated prizes – indeed perhaps the Nobel Prize itself? Or has this particular literary reputation perhaps been established over the years by critics and readers alike?

literary works, will be examined on hand of a literary analytical model created and proposed by author of this PhD thesis. Drawing upon my own still developing experience in fiction writing, having published a wide range of short stories in literary magazines across North America and Asia<sup>9</sup>, as well as incorporating key insights from important literature in the field, this study will propose the now following research questions. The aim here is to ascertain the cognitive processes involved in the linguistic transfer of fiction from writer to reader. The central research questions are thus:

- 1) Which linguistic devices contribute to the cognitive transfer of fiction writing from writer to reader?
- 2) What makes for a successful and dynamic transfer from writer to reader?
- 3) Are cultural identity and cross-cultural influences crucial in shaping the style and resonance of writing, as well as the linguistic choices of a given author?

In order to ascertain the answers to these research questions, the now following hypotheses were elaborated at the beginning of this research project:

- 1) The ‘Wave Method of Cognitive Literature Analysis’ provides a systematic and structured procedural method for the analysis of the writer-reader dynamic in literature.
- 2) Cross-cultural influences decisively shape linguistic choices on the part of the author, and also influence the reading experience on the part of the reader.
- 3) Successful literature dynamically transfers the cognitive impulses of the writer into those of the reader and thereby transfers fiction actively from writer to reader.

Evidently, the reader brings to the writer-reader dynamic their own worldly experiences, their own hopes, expectations and emotions, all of which may potentially

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<sup>9</sup> Full list of short stories by Matthias Krug and their complete texts displayed at: [http://www.ucm.es/BUCM/escritores/matthias\\_krug](http://www.ucm.es/BUCM/escritores/matthias_krug)

become activated in the process of reading. This is what is referred to here as literary interaction, or dynamic reading. In this regard the receptive aspect of this study will be analyzed on hand of the prototype reader (the author of this study) in the form of a qualitative study, whilst further related studies of a quantitative nature will be recommended in the Conclusion (section 5). This will then be a study of the mind of the writer and that of the reader. Furthermore, this will be a study of the cognitive processes involved in the creation of creative writing on the one hand, and in the creative process of reading on the other. Literature may be written in a book outside of the ‘container’ that is our body, but it takes place inside the ‘container’ that is the head and more specifically the mind. As the Results and Analysis (section 4) and also the overall insights won from the Conclusion (section 5) will come to show, the ‘container’ image schema plays an important linguistic role in many of the works analyzed in that it brings across to the reader a human-centeredness which is very much essential to the functioning of successful fiction. This is the case, for example, in the focus on the ‘container’ that is Gregor Samsa’s newly transformed insect body in ‘Metamorphosis’, or also the injured container of Hemingway’s character Robert Jordan at the conclusion of *For Whom the Bell Tolls* as his ‘container’ is spiritually joined with that of his love María in her escape. That is why this study examines the impact of literature on the ‘container’ that is the human mind.

But before moving on to the actual parameters of this analysis method, another measure of protest must be weathered. There are those critics who will argue the case that the writer’s mind is indeed an uncertain domain and that it is therefore impossible to analyze with entire effectiveness the cognitive intentions of a writer in making certain

linguistic choices, much less in the very systematic manner way in which this study proposes to examine some of the leading works of 20<sup>th</sup> Century literature. Consider, for example, the introduction to Faulkner’s classic novel ‘The Sound and the Fury’, in which Richard Hughes writes (Faulkner 1995: 5): “There is a story told of a celebrated Russian dancer, who was asked by someone what she meant by a certain dance. She answered with some exasperation, ‘If I could say it in so many words, do you think I should take the very great trouble of dancing it?’ It is an important story, because it is the valid explanation of obscurity in art.” From this simple anecdote becomes evident the beauty of art, and by extension the obscurity of meaning in writing, that incredibly difficult, complex and yet entirely rewarding procedure which is indeed so like a dance. A dance with the inner self. Hemingway seems to have taken sides with the Russian dancer as he quipped that it was indeed not the writers work to run guided tours through the more difficult country of his work. Instead, he left this entirely to the reader’s imagination, showing his inherent reliance on the writer-reader dynamic. This wonderfully metaphoric imagery may be true; the critics and scholars are there to run these tours or explore the terrain, wonderful as it is at times, on their own. But this does not make the writers cognitive intentions more difficult to analyze. Indeed, this study argues that the very evidence of the words which outlives the author in the form of their books provide some of the most interesting and lasting insights into the mind which developed them.

So if, as Hemingway seemingly indicated in *The Paris Review* interview quoted at the start of this study, writing is indeed an inexplicable, sacred, essentially mysterious art which belies explanations or dissertations, there should be no need for the here following doctoral thesis on the cognitive writer-reader dynamic in creative writing. But this is

indeed not what Hemingway said. Instead, he thought the writer not the fitting person to analyze his or her own work, suggesting rather that the reader should do so – and preferably on more than a single occasion. So Hemingway indeed thought it very possible to analyze literary works as a reader, to submerge oneself time and again in the works which this study shall examine. And in this regard there can be no doubt; the cognitive intentions of the author are of course there for all to see on paper – it is just down to utilizing an analysis method which will adequately extract these cognitive intentions from the work of literature.

This study will thus assert that the cognitive intentions of any given author can indeed be deduced from the linguistic choices which are hard facts in the linguistic end product, and by the worldly input which can be ascertained through specific reading on the author in question, which is also part of each analysis section. So the terminology discussed in this study as the ‘cognitive intentions’ of the writer is indeed nothing more than the deduction or interpretation of this intermittent stage, which no one save the author has access to, and the interpretation of which may be assisted through interviews with the author<sup>10</sup>.

So in essence this study sets out to show that the art of writing can be explained, and indeed effectively analyzed and structured in cognitive terms. Furthermore, it will be the assertion of this study that the analysis of literature indeed requires a cognitive approach to account for the unique dynamic that is created when a writer sets down his creative thoughts in the form of a published book. The book is then taken up by the reader, who is an active part of the creative writing equation.

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<sup>10</sup> Such as those with Hemingway or García Márquez which have been utilized here from The Paris Review.

What the procedural analysis method introduced in this study brings to the study of literature is also a multi-faceted understanding of the various other actors involved in the process of transforming creative writing into literature. This is effectuated here through the annexed in-depth interviews with renowned writers, agents, publishers and translators which are to be found incorporated throughout this doctoral thesis. The latter case of an interview<sup>11</sup> with an award-winning translator was conducted with the director of this doctoral study, Enrique Bernárdez, who besides being a leading scholar and writer in the field of cognitive linguistics is also a translator of Nordic novels, including many from the Icelandic or the work of Hans Christian Andersen. When asked to what extent the reader may be reading the translator’s writing rather than the writer’s writing when choosing a novel originally written in a foreign language, Bernárdez replied the following:

“This is something very interesting, because there is now the tendency to avoid any reference to the translator, so that you may think that the book has been originally written in English. Editors sometimes simply do not include the name of the translator, critics sometimes make no reference to the book being a translation, but of course that is false, that is not true, that is a lie, that is misleading for the reader too. In Spain there is also the tendency to judge the translation as if it were not a translation. So you have something very funny; critics talking about the language of the author, when it is the language of the translator. They have no idea whatsoever of how the original was. This makes no sense, you cannot say

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<sup>11</sup> See full length interview in appendix 8.

anything about the language of the translation without having in mind that it is a translation.”

Thus besides analyzing the receptive effects a work of literature has, this study will also attempt to portray the importance of the process of creation and production which brings the work from the private sphere of the writer to the public realms of the reader.

Further insights can be gained from examining the similitude of the writer and reader’s cognitive apparatus. In the above mentioned interview Hemingway actively referred to the role of the reader, as any successful author will do. But is there a difference here in cognitive terms? Can it be said that the writer possesses one set of cognitive mechanisms to form a work of fiction, whilst the reader possesses another, differently tuned mental apparatus? Put another way: is the artist, and by extension the writer, some higher creative being with mental powers which are much more sophisticated than those of the reader?

This study emphatically challenges such notions through both the analysis of key literature in the field of cognitive poetics (section 3), as well as the findings that the author indeed needs to put himself in the role of the reader during the editing stage. As Hogan (2003: 61) points out: “How else could creativity operate other than through ordinary cognitive processes?” Hogan is surely right in this regard: there is no special writer’s mind with which some children are born, whilst others are simply not blessed with the same mental mechanisms. It can – and must – all be learnt through the acquisition of mastery, another concept which shall be elaborated in the Literature Review. Indeed, this study shall point out that this perceived obscurity of meaning discussed above is in fact *mastery* of the art of fiction. When all the elements of a work of

fiction have come together successfully, the impact on the reader can be such as to create a successful receptive resonance. That is then the mark of successful fiction, that notion referred to in the research questions. As already mentioned, this is to be a qualitative study, because a quantitative analysis would not indeed display *how* the different authors examined manage to utilize perfectly ordinary mental mechanisms and linguistic devices and form them into the mastery of their works of literature, but would rather ascertain *how often* these were used, or as the Conclusion will propose in further study recommendations, how often a certain impact was achieved in a certain readership group. In limiting the scope of this study, then, the central question here is: how is creative writing turned into lasting literature?

In linguistic terms this study may be placed, as the Literature Review (section 3) suggests, in the domain of cognitive literary studies. A leading scholar in this field, Margaret Freeman writes that (In Brone and Vandaele, Eds, 2009: 169): “cognitive linguistics will never come of age until it can account for the human significance of the language utterance.” The purpose of the current study is indeed to focus on this ‘human significance’ of the language utilized in important works of literature, both from the perspective of the writer and that of the reader, giving it thus a very practical application in the form of the procedural analytical model proposed. Furthermore, the “embodiment or ‘grounding’ hypothesis – which contends that language partly makes sense because it is tied to our bodily being in the world” (In Brone and Vandaele, Eds, 2009: 12) will take on an increasing significance as the Results and Analysis (section 4) of this study approaches.

Before then, though, the solid scholarly grounding for the ‘Wave Method of Cognitive Literature Analysis’ will be discussed in the Literature Review, which will include important works from Tsur (1992), Turner (1996), Zunshine (2006), Stockwell (2009) and Bernárdez (2008). After examining the ‘cognitive revolution’ of recent years, this section shall go on to examine the specifics of cognitive poetics, the field which Tsur (in Semino 2002: 279) explained in the following manner: “Cognitive Poetics offers cognitive theories that systematically account for the relationship between the structure of literary texts and their perceived effects.” This is precisely what this study and the associated analysis method set out to do, using cognitive theories to systematically explain not only the relationship between structure and effects of a literary text, but also the relationship between writer and reader. Tsur goes on to state that: “Cognitive Poetics assumes that poetic texts don’t only have meaning or convey thoughts, but also display emotional qualities perceived by the reader.” This is reaching to the very essence of this study. For as Stockwell (2009: 1) points out: “the proper business of literary criticism is the description of readings. Readings consist of the *interaction* of texts and humans. Humans are comprised of minds, bodies and shared experiences.”<sup>12</sup> Stockwell takes a critical view of traditional literary criticism which he calls ‘improper and marginalizing’, calling instead for a cognitive analysis. This study does find some important aspects in conventional literary analysis, but suggests that the cognitive approach developed here may be more all-encompassing, more thorough, more definitive, when taking into account the entire creation process. This study will then show how this interaction, the writer-reader dynamic, actually unfolds in the creative writing context.

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<sup>12</sup> Own italics.

## **2. Corpus and methodology**

What shall be discussed here is the very essence of this cognitive literary study – the corpus of literary works of world renown to be examined, as well as the extensive explanation of the methodology which is to be employed in the analysis of this corpus. In the first part of this section (2.1) the corpus will be introduced and each inclusion justified, whilst the second part (2.2) sees the introduction of the ‘Wave Method of cognitive literature analysis’, which has been developed by the current author for the purpose of this study, and finally (2.3) the procedures of analysis will be highlighted and expounded.

### **2.1. Corpus**

The chosen works of fiction which make up the corpus of this study, all of which have made the leap from creative writing to lasting published literature in an entirely enduring manner, will now be introduced. In each case, they have made a particular impression on the macrocosmic scale of the cognitive apparatus that is the prototype reader’s mind, and this impact has been cross-referenced with their macrocosmic literary reputation in 20<sup>th</sup> Century fiction. In order to make for an adequate test of the analysis method proposed by this paper, the corpus of contemporary literature examined here was chosen to be varied, both in geographical as well as stylistic terms, as well as portraying a range in the period written and the cross-cultural influences at work. Excellent past research in literary

analysis at the Universidad Complutense de Madrid has been conducted by choosing a single author and expounding on a corpus of this author’s work, as was the case with the aforementioned study of Vargas Llosa on Gabriel García Márquez. The latter also forms part of the corpus of fiction works studied here. But, by differentiation, this study sets out to test the effectiveness of the analysis method introduced in the here following section (2.2) by looking at a corpus written by a quintet of literary greats.

In choosing a variety of 20<sup>th</sup> Century works of literature from Europe, South and North America, the corpus introduced below will attempt to demonstrate the range of cognitive and linguistic devices utilized in successful literature on hand of the following works:

**4.1** Franz Kafka (2007): The short story ‘Metamorphosis’, pertaining of pages 85 – 147.

**4.2** Jorge Luis Borges: The short story ‘Pierre Menard, Author of the Quixote’ (2000a) pertaining of pages 62 – 72, and the short story ‘The Book of Sand’ (2000b), pertaining of pages 89 - 94.

**4.3** Ernest Hemingway (2003): The novel ‘For Whom the Bells Tolls’, pertaining of 471 pages.

**4.4** Vladimir Nabokov (2000): The novel ‘*Lolita*’, pertaining of 352 pages.

**4.5** Gabriel García Márquez (2000): The Novel ‘*One Hundred Years of Solitude*’, pertaining of 422 pages.

The corpus thus consists of the works of five male authors, one of whom originates from North America (Hemingway), two from South America (Borges, García Márquez), whilst

one of European (Kafka) and one of Eurasian origins (Nabokov). Hence the geographical variety mentioned earlier. Furthermore, the works have been chosen in view of the impact and influence they have had upon the reader who is here to examine this receptive aspect of the writer-reader dynamic, that is to say the author of this doctoral study. In each case, the works are of a quality that is of the highest order in fictional creativity, as shall be discussed in the results and analysis (section 4). As Hogan (2003: 62) finds: “Creativity involves both a break with the past in certain respects and continuity with the past in other respects...at the very least there is negative continuity. A new style necessarily relies on our understanding that it is not the earlier style.”

What shall be emphasized in this study is then a sense of continuity between writers, who as will become evident often draw upon the work of each other as part of their worldly input in the form of literature reading. These six works then are necessarily works which display both a break with the past as well as certain notions of continuity with past literary excellence. A sequential order has been proposed in the analysis of the corpus in that the first piece by Kafka is a long short story, while two short stories from Borges follow, both of shorter dimensions, which is the reasoning behind choosing two stories in this case. Thereafter, the novel form is examined in three instances. It will be the purpose of the analysis method which is introduced here below to expressly showcase the cognitive intentions of the author in each case through the linguistic tools which creative writing practice has put at their disposal, and to ascertain which aspects of creativity are of utmost importance in each particular instance of successful literature.

## 2.2. Methodology: The ‘Wave Method of Cognitive Literature analysis’

*“Meticulously, motionlessly, secretly, he wrought in time his lofty, invisible labyrinth.”*

- **Jorge Luis Borges (2000:124) in the short story “The Secret Miracle”.**

It shall be the aim of this study to not only analyze those ‘lofty, invisible’ labyrinths which Borges referred to and created, but also to discover the procedure behind the very creation of creative writing and literature and thereby facilitate an entirely reliable analysis. The here following analytical model, which I have developed in cooperation with the faculty of English Linguistics and specifically with the valuable input of the director of this study Cat. Dr. Enrique Bernárdez at the Universidad Complutense de Madrid, is the result of a lengthy period of investigation into the mechanisms of creative fiction writing. This has been aided and amplified by my own experiences as a young writer<sup>13</sup>, as well as important literature in the field. The latter shall be discussed extensively in the literature review (section 3.1), but it is perhaps useful to note very briefly at this stage that a ‘Wave theory’ approach has been applied previously in linguistic studies, specifically in the field of sociolinguistics. The current author has utilized this procedural ‘Wave method’ analysis previously in political speech analysis<sup>14</sup>, at which point my conclusions pointed to the potential usefulness of this analytical model for cognitive literature analysis.

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<sup>13</sup> With numerous short stories published in literary magazines in North America and Asia (see also: [http://www.ucm.es/BUCM/escritores/matthias\\_krug](http://www.ucm.es/BUCM/escritores/matthias_krug)) and my first novel which forms part of this PhD project published at [http://www.ucm.es/BUCM/escritores/matthias\\_krug/obras/obr1900.pdf](http://www.ucm.es/BUCM/escritores/matthias_krug/obras/obr1900.pdf).

<sup>14</sup> For my Masters Thesis, presented at the Universidad Complutense de Madrid on the 28<sup>th</sup> of June 2010.

Foremost, this procedural analysis method which follows here attempts to facilitate a thorough cognitive analysis of both writer and reader’s mental processes through the basis of a linguistic analysis of the text. The intention then is to include both productive and receptive aspects of literature in the analysis, for as Fairclough (1995: 9) pointed out: “the principle that textual analysis should be combined with analysis of practices of production and consumption has not been adequately operationalized...”. Thus, this analysis method aims to clearly showcase and analyze all aspects of textual production and consumption in the realm of creative fiction writing. The intention behind such a procedural analysis is then to demonstrate that while traditional literary analysis lays a keen emphasis on the intentions of the author in the linguistic choices, the current analysis method will attempt an all-encompassing analytical approach, which will crucially also incorporate the reader as a key cognitive actor in the creative writing process. This broader approach to literary analysis is not just useful when taking into account the recipient of the work of literature, who will in this case be the prototype reader that is the author of this study, but can also thereby lead to valuable insights into the writer’s cognitive intentions. Traditional literary analysis has often tackled the essentially enigmatic question: what were the author’s intentions in writing this? Of course there can be an estimate at what may have been taking place in the author’s mind, but there is never absolute certainty.

The writer-reader dynamic analysis through the ‘Wave Method’ has the advantage of taking into account what may have been the worldly input and the cognitive intentions involved in the creation of a piece of creative writing. But the focus here is equally placed on the reader’s reaction, because we all are readers, and we can analyze our own

reactions to a piece of fiction writing. Through this analysis the intentions of the author may often become so much clearer, so it would seem to neglect an important aspect to take the writer-reader dynamic out of the literary analysis equation. In his afterword to the German edition of Franz Kafka’s ‘Metamorphosis’ (2009: 71), Egon Schwarz writes, when talking about the literary theories of reception theory and reception aesthetic which have come into focus in recent years: “*Wir deuten nicht so sehr Kafkas Fiktion, sondern unsere eigenen Empfindungen bei ihrer Lektüre oder, genauer: die Begegnung der beiden im historischen Augenblick unserer Gegenwart.*”<sup>15</sup> This notion also captures the essential promise of the ‘Wave Method for cognitive literature analysis’<sup>16</sup>, for it not only offers to bring together the two focal points of writer and reader into the present moment which Schwarz mentions, but offers the possibility for the reader to do so from the inherently solid standpoint of their own receptive capabilities.

Here follows the procedural model of analysis to be employed and thereafter the explanation of the various stages identified, as well as how they will be analyzed.

Figure 1: ‘Wave Method of cognitive literature analysis’

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<sup>15</sup> That is (my translation always from here onwards): “we interpret not so much Kafka’s fiction, but our own sentiments upon reading it, or, more precisely yet: the encounter of the two in the historic moment of our present.”

<sup>16</sup> Referred to hereafter simply as the ‘Wave Method’.

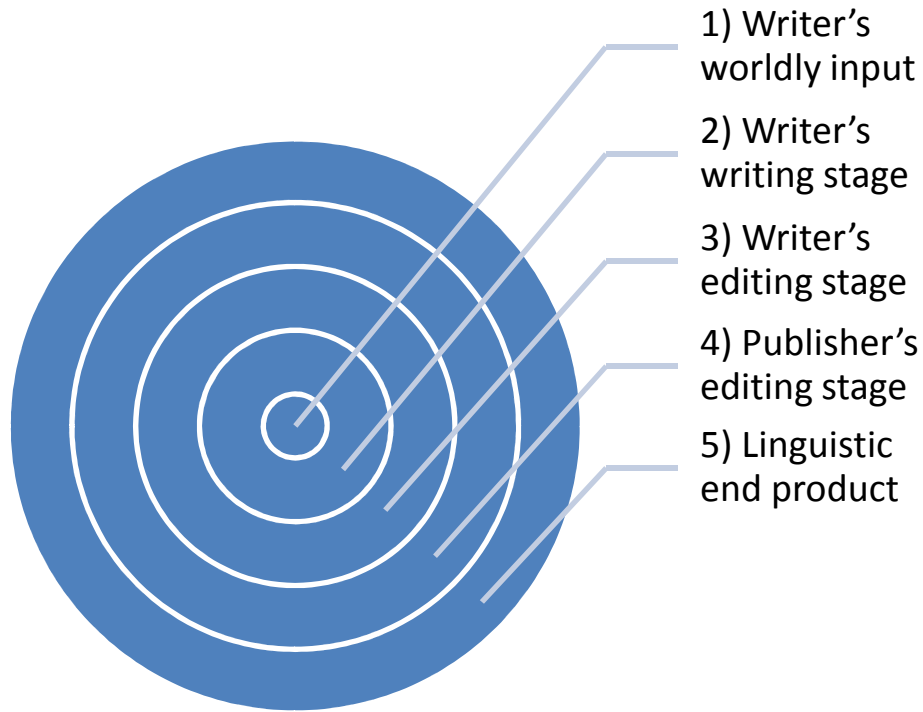


Table 1: Key for analysis method

<u>Wave</u>	<u>Content</u>	<u>Analysis to be employed</u>
<u>1</u>	Writer's worldly input	<b>Research of key worldly and contextual input</b>
<u>2</u>	Writer's writing stage	<b>Analysis of cognitive intentions of the author</b>
<u>3</u>	Writer's editing stage	<b>Analysis of stylistic resonance of text</b>
<u>4</u>	Publisher's editing stage	<b>Interview with publishers and indicators from research</b>
<u>5</u>	Linguistic end product (in the form of novel or short story, etc.)	<b>Textual linguistic analysis</b>
<u>6</u>	Reader reception	<b>Cognitive analysis of receptive impact</b>

Here follows an explanation of the specific significance of these various ‘Waves’ of the procedural analysis method proposed, as well as the reasoning behind identifying and including them in this study.

### **Wave 1: Writer’s worldly input**

The first ‘wave’ identified in the ‘Wave Method’ lies at the heart of the inherently cognitive activity that is creative writing, in that it contains the first bud of inspiration for the work of fiction which essentially grows from the world in which the writer lives – what is here identified as the writer’s ‘worldly input’. In traditional literary analysis this stage would perhaps be seen as the contextual background blending lifetime and setting of the writer, but this analysis method specifically places this wave at the centre of the cognitive process which is then to unfold between writer and reader. Steele (2008: 12) refers to this first wave as one of the most important in the entire creative writing process: “Once you start absorbing the world as a writer, your problem will quickly shift from I don’t have any good ideas to I have so many great ideas I can’t possibly live long enough to get all of them down. This is a wonderful problem for a writer to have.” And perhaps all the more wonderful for those proposing to make a literary cognitive analysis in that the linguistic end product (wave 5) offers clear and unmistakable clues as to what that worldly input must have looked like, a notion which can then be corroborated by the related literature of more biographic nature. It is then the purpose of this analysis method

to facilitate this deduction process. As Hemingway told the interviewer of *The Paris Review* (Issue 18, Spring 1958):

INTERVIEWER

What would you consider the best intellectual training for the would-be writer?

HEMINGWAY

Let's say that he should go out and hang himself because he finds that writing well is impossibly difficult. Then he should be cut down without mercy and forced by his own self to write as well as he can for the rest of his life. At least he will have the story of the hanging to commence with.

Hemingway's literal hanging is of course the process of worldly inspiration which is at the beginning of many writers' careers, before they make the leap from creative writing to literature, at which stage the writer-reader dynamic can indeed be applied. Whilst later works may well be increasingly based on the imagination of the writer, as Hemingway goes on to state in this wide-ranging interview, early writing work may draw heavily and even exclusively upon real life experiences, this latter being the self-professed case in the last author to be analyzed in this study: Gabriel García Márquez. Returning to Hemingway, Waldhorn (2002: 75) notes that: “part of what he (Hemingway) reported from Madrid entered a few short stories and his play...” This is then a direct instance of worldly input becoming manifestly utilized in the fiction writing process. This is also the case in Hemingway's posthumously published novel *The Garden of Eden* (Hemingway 2003), in which it is possible to note the constant and very authentic references to Madrid, the *Buen Retiro* park and the *Prado* Museum. This kind of worldly input has the advantage of lending authenticity to a work of fiction, giving the author the possibility of being able to write about what he or she sees and therefore knows to be true. This truth is

then transferred into the fiction writing process, something which happened with many works in the corpus of this study, including Nabokov’s *Lolita*, as we shall later see.

It is also important to note that the modes of worldly input and inspiration are of course varied and not limited only to the immediate surroundings and experiences of the author, but also to the literature and related reading which forms an essential part of every author’s inspirational landscape. This is why this stage has been labeled the ‘writer’s worldly input’, for there is more here than simple experiences of the author. This can be seen in concrete cases like the ones of Borges (section 4.2), whose worldly influences in the form of reading included the works of Kafka (section 4.1), or that of García Márquez (section 4.5), who was influenced both by the reading of Hemingway (section 4.3) and also Kafka and Borges. In terms of the novel project written as part of this doctoral study<sup>17</sup>, source 1 below shows the direct influence of experiences and ideas related by other writers in the creative writing process. Thus, for example, during the writing of this doctoral study, I completed the novel *Selfishness*, and was also re-reading the works of Borges which are part of the literature corpus. As I was editing the novel in the writer’s editing stage (wave 3), the impact of Borges’ story ‘Pierre Menard, Author of the Quixote’ (to be examined in section 4.2) had an actual technical impact on the conception of my creative writing project. This inspirational effect brought about by other writers and by the writer’s continual dual capacity as writer and reader is epitomized by the short piece of fiction I wrote at this stage on the inspiration process brought about by reading other writer’s work. It is shown here below in source 1.

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<sup>17</sup> The novel ‘Selfishness’, which was launched on **Escritores complutenses 2.0** during the I Semana **Complutense de la Letras from 3-6 May 2011**, for free download in PDF format: [http://www.ucm.es/BUCM/escritores/matthias\\_krug](http://www.ucm.es/BUCM/escritores/matthias_krug)

**Source 1: The short story ‘Telephone call to and with Borges’**Telephone call to and with BorgesBy Matthias Krug

Had I previously known that I had his number I might have made the call much earlier. As it was the thought struck me one sunny morning in Barcelona as I was just painting my Melba crackers with thick, overtly thick you might say, chocolate paste as I agonized over which writing project to begin next.

Without having finished the cracker in my hand, and with the sweet taste of the chocolate still sticking to the roof of my mouth, I dialed his number and waited. At this point in time it was merely a telephone call to Borges. It had little hope of success, really. But then which writer does? Recognition? Pa – I spit on it with brown chocolate-tainted spit. It might come in the form of a few tiny journal publications; it might possibly flourish into a novel which is published once but never sells; indeed it might come never. It might come after you’re long –

‘Yes?’ It was Borges alright. The old linguist was answering in German. ‘*Ja.*’

‘Listen, Jorge, can I call you Jorge?’

‘Sure thing, *ja,*’ he said, and his voice sounded fine, as if he were just working on one of those literary mazes of his.

‘Listen, I’m wondering which project to start as I edit my first novel, and it’s hampering all of the new project ideas, this uncertainty, you know Jorge?’

‘*Ja,*’ he said, ‘I’ve had that a lot. Why don’t you write and edit at the same time?’

‘You mean...’ but of course he meant that. Two books, one edited and one written in the same time period, and eventually merged with each other into a magnificently messy whole. It was sure to confound every reader entirely.

‘And,’ he suggested, laughing dryly at the other end, ‘I suggest you make them both the perfect stories.’

‘How so?’ I asked.

‘Make them both so that every reader may interpret them in a completely distinctive manner. When you’ve achieved that, and merged them so that there is purpose and thought and entirety behind the merge, call me back one sunny morning.’

With that he decisively clunked down his heavy metallic phone and resumed writing in the Argentine national library in Buenos Aires. He just sat there and wrote in good airs.

My, oh my, I thought. This has just been a telephone call with Borges.

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This very short story in extract 1 relates the inspirational input which reading can indeed provide in the creative writing experience; the complicity with other authors who have gone through the same inner ‘agony’ in the course of a writing lifetime, even if they are dead already, which is the daring hook of this particular piece of fiction. Indeed this very brief story, what may be classified as the modern genre of ‘flash fiction’, also showcases the essential loneliness and lack of recognition incorporated in the art of writing; the essential importance of the role of the reader; the impossible drama of creating a story which is perfect in every sense. Thus from a single act of reading another

author, the inspirational input in this case is seemingly infinite; even if the supposedly perfect piece of merged fiction with two simultaneously written and edited novels remains imperfect, it is still a major cognitive impact which is taking place here in the author’s mind. And even if the worldly input is not in the form of direct events, actions and characters, the author is still inherently anchored in the worldly surroundings of his time and age. As Vargas Llosa recounted in his talk during the ‘I Semana Complutense de la Letras’:

“There are writers where the impulse for writing comes mainly from their fantasy. In my case, it’s different. I’m realistic in this sense. I need the reality to guide me, educate me, in the psychology, to help me write what I want to say. If I had a novel in Paris, I need to see and touch Paris, to feel familiar with the world I want to invent. A smell, a color, a profile, a person, from there come the images which I write, and this needs its time. The point of departure is always reality. It’s fundamental. It gives me more security, it helps me to fight against insecurity.”<sup>18</sup>

Thus the ‘Wave Method’ analysis at this stage will focus on the worldly input which may have been at the heart of the writing process as the first inspiration thereof. The impressions brought about by the linguistic analysis will be augmented where possible and where such information exists by information from key literature relating to the life and times of the particular author at hand.

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<sup>18</sup> Translated by author of this doctoral thesis, from the Mario Vargas Llosa speech at ‘Conversación en la Universidad’, event during the ‘I Semana Complutense de las letras’ on May 4<sup>th</sup> 2011. See also Appendix 7.

**Wave 2: The writer’s writing stage**

The second wave of the ‘Wave Method’ is of equally vital importance in the creative writing process, in that it represents the transformation of mental impulses into the first draft of writing. Whilst this first writing stage is certainly not the linguistic end product which the reader is presented with, there is an important cognitive action involved at this first writing stage in that the creation of characters, storyline and actual scenes is begun here. As Steele (2008: 35) describes this transfer of worldly input into the first creation process: “Writers often construct characters by beginning with interesting people or characteristics of people they know. Some writers even start with their own personality as a basis for a character and build from there.”

This indicates already that the creation process in creative writing is indeed very much a continuum in which one stage leads effortlessly into the next, and that to fully understand the cognitive intentions involved on the part of the writer and the receptive effects upon the reader’s mind, the entire process should be taken into account. Thus characters may be built from the worldly input garnered by the author (necessarily at wave 1), and then implemented directly in written form at this second stage. This is then the first implementation phase of the creative writing process. But there is a certain inherent difficulty in identifying which part of the linguistic end product was produced in the writing stage and which was part of the editing process of a particular work of fiction. Thus this analysis method will propose to analyze both stages 2 and 3 in an all-encompassing writing phase analysis, unless there is specific information pertaining to

the author’s writing or editing of a particular piece of fiction, in which case this serves as useful information in the analysis of the creative writing process.

In the case of the novel *Selfishness* written by the author of this study, the initial writing stage included the elaboration of the structure of chapters which would reach 24 in total, and the commencement of the story with the first viewing of the psychologist’s sign flying above his glasses. However, in the final version which was completed after various implementations of the writer’s editing stages over numerous months, the ‘author’s prologue’ has been added to the start of the novel. This prologue is very much in the style of Nabokov’s prologue to *‘Lolita’*, in that in both cases the author is indeed a fictional one and not in fact the author of the novel.

### **Extract 1: From the novel ‘Selfishness’ by Matthias Krug**

#### The Author’s Prologue

In the small seaside town of La Manga, a tiny wart on the Eastern cheek of Spain which contains nothing much more than a major and a minor sea, a few retired lovelies in outdated swimsuits and an intoxicated German tourist or two, there came into being this delightful photograph of love. Unfortunately, it is not posted on any social networking site. Whilst engaging in an entirely unauthorised search of personal belongings in a city-centre flat in Madrid in the Western year of 2010, the current author found this photograph lodged, slightly frayed and almost entirely forgotten in a simple photo album. I feared it was condemned forever to the tragedy of being viewed by just two eyes, and not the hundreds, even thousands we pleasure ourselves into believing that look at our photos on the internet. I thought this a terrible tragedy, especially considering the internet-induced, first time story of love, of *amor*, of cupid’s straying, meddling and computerised arrows, which I intend to recount in tragically true detail, as painful as it may be at times for me, in the here following chapters. Having had the swiftness of mind to leave the photo in its place in the album in order to avoid arousing suspicion through my snooping, but the lack of foresight not to simply go over to the nearby printer and scan the damn beautiful thing and post it now some ten years later on my social network site, it remains imprinted only in my memory. So I have decided to show it to your mind’s eye here. Look at those two fascinatingly poised pairs of eyes. Hers more attractive. But both of their eyes are arched rainbow-like with expectant colours spraying innate,

elemental happiness in all directions. She is looking at him with those unforgettable brown peepers which still remain with me to this day, whilst he, perfectly aware of this amorous attention emanating from the golden-skinned sea-nymph at his side, but violently unaware of all that is to follow, is sailing his sea blue eye-work directly at the camera. Their faces, young and vibrant, searching longingly and then and there at once finding, touch each other tenderly at an angle. It is as if two halves of a full moon have been sliced up and then put together back to back, and yet are still somehow making for an entirely harmonious sky. A large and tender sea is flowing softly behind them, emitting little rustling waves which you could hear even just looking at that silent picture. Oh no, in those ancient days from the last decade photographs with sound effects had not yet been invented.

But look. These are the exact measures, the parameters, of this lovely little crosscultural love-triangle. Their converging hairs, black and blonde, wavy and spiky, are almost inseparable so that you hardly know which belongs to whom, seemingly merging in a river of perfect harmony, giving off only the slightest star-sparks of the friction that is to come.

So look. Smile-click-look. This very single moment is the blooming rosebush, the flourishing orgasm of an every lifetime. Looking back when you're old and crinkled, a creasy handbag made of crocodile skin and chicken bones, you'll realise that this is the one moment which really counted. There is honeyed happiness dripping in little drools down from those oversized smiles, showing white, healthy teeth. She would later metalize that sinfully sensual smile in an attempt to cease being beautiful for him. But I'm getting ahead of myself.

Let's look one final, loving, tender, toothy time at this sensual picture before it is forever condemned to the recycle bin of our minds. Love-click-crush. How in love they look. If only it could stay that way forever. But we know it can't. If only it could have *stayed* that way. If only all that followed from there onwards, with my questionable and manipulative participation, hadn't. Writing now ten years later, looking out of my barred window, I genuinely wish it hadn't needed to happen at all. But everything happens for a reason. *Allahu Akbar*. God is greater. Sorry, I didn't mean to freak you out, dear Western readers. You mean a lot to me. What I meant to say is that love is not as simple as falling in first love and secondly marrying ever after. Love is inevitable and insatiable. Love is fateful. Oh, love! As Cupid presumably once said (or did I just make that up?). Love, oh love, had sent a sign from above...

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As can be seen from extract 1 above, the worldly impact of re-reading, in this case, the novel *Lolita* of Nabokov, has had a direct impact upon a technical structural aspect of this novel, which was been specifically inserted with the purpose of providing a variation (to be discussed in Section 3, the literature review) from the standard opening which the

reader may be familiar with. This is then a case in which demonstrates the actual complexity of the writer’s writing stage, which has been applied here during the actual editing of the novel. Since there is new content being produced here, to be edited then once again by the writer thereafter, the entire process involved is one of constant interchange between the cognitive intentions of the writer and those of the writer acting as the reader in the editing stage. The writer’s editing process shall be discussed in the here following section.

### **Wave 3: The writer’s editing stage**

The procedural analysis method then moves on to examine the writer’s editing stage, which, as Steele (2008: 214) writes with specific reference to one of the authors to be examined in this study, can be entirely important for the formation of the piece of fiction in terms of style, tone, storyline and overall resonance: “Papa Hemingway, not one to mince words, also called first drafts ‘excrement’. That’s harsh, but also liberating.” In the case of this cognitive literary analysis, it is important to at least keep this stage in mind, for as Hogan (2003: 80) expounds: “No matter how avant-garde an artist might be, he/she still produces work through alternately generating and evaluating. The evaluation involves his / her adoption of a receptive attitude, the attitude of a viewer.”

It is then at this stage, at the very least – for more experienced writers can be found to write with the reader in mind even at the very first writing stage – that the writer-reader dynamic is to take on a vital importance which actually influences technical decisions in the creative writing process. This is described by Steele (2008: 214) in the following

manner: “With experience the fiction writer learns not only how to find and solve technical problems but that solving such problems in a manuscript can be as creative as writing that first draft.” Neglecting this writer’s editing stage, which as we have seen involves such inherent creativity, would be neglecting an important aspect of the creative writing process. This can be seen from the here following extracts from the novel *Selfishness* written by the author of this study, where we have the advantage of having access to both the first writing stage and also the subsequent writer’s editing stage.

**Extract 2: Writer’s edits from the novel ‘Selfishness’ by Matthias Krug**

Wave 2: Writer’s writing stage: “The church on the right was still lit up, the colorful stained-glass window offering glimpses of happy married life in Hugo’s mind.”

Wave 3: Writer’s editing stage: “The church on the right was still lit up, the colorful stained-glass window offering last glimpses of light to the outside world.”

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The above extract from the novel ‘Selfishness’ shows how the author’s worldly input (wave 1) of describing an actual church in Madrid (which is where the novel is set) is transformed into a first written version (wave 2) which was seen by the writer as being too explicitly phrased with regards to its meaning within the novel, thus not entirely incorporating the reader’s cognitive impulses in the writer-reader dynamic. Following the

writer’s editing stage (wave 3), the writer’s cognitive intentions of linking the character (Hugo) to the institution of the church which can be related to marriage is much more subtle, calling actively upon the reader’s cognitive system to connect the church mental space with the marriage mental space which has been developed in the progression of the novel. Clearly, the above case study shows that important edits are made on the part of the writer at wave 3, and that these can make an important impact in the writer-reader dynamic, especially when the writer possesses the vitally important writing experience to do so.

In other cases, such as that of extract 3 below, the writer’s editing stage can also include instances in which content is reduced in order to allow for a more gradual revelation of the key plot component that the character Marisol actually works as a stripper in the metro of Madrid without her soon to be husband Hugo knowing about this.

**Extract 3: Writer’s edits from the novel ‘Selfishness’ by Matthias Krug**

Wave 2: Writer’s writing stage: “So where are you from?” Marisol asked the man below the sign above. She asked this quickly but with a pointed interest, as if it would somehow make a difference in the hiring decision. She was evidently still in the throes of her internal tropical storm, which was showing no signs of dying down. But she also asked with all her innate compassion for the plight of other people. This was one of her strengths. This and stripping in public, she thought, which isn’t really compatible.”

Wave 3: Writer’s editing stage: “So where are you from?’ Marisol asked the man below the sign above. She asked this quickly but with a pointed interest, as if it would somehow make a difference in the hiring decision.”

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In the above case, the decision to reduce content in chapter 1 was made by the writer not only to allow for a smoother flow of conversation between Marisol and the psychologist she picks up from the streets, but also to make exposition for the reader more gradual and thereby enhance excitement and interest in the reading experience. Again, the edit has been made with the inherent intention of taking into account the necessities of the writer-reader dynamic. The same can be said of the edit undertaken (at wave 3) in the same novel to edit the title of chapter 16 from ‘Colombia’, which is a more content-related title, to ‘Apart’, which is a direct contrast from the last word of the previous chapter, which reads: ‘together’. Thus the flow of the novel as a whole is considered at this stage, that notion which will be mentioned in the literature review (section 3) as the ‘resonance’ of a novel. In opting for this continuative measure, the writer is actively taking on the role of the reader in the editing process, which showcases just how much importance should be ascribed to the latter in the creative writing process. And whilst such detailed information about the editing stage of a novel as that above might not always be readily available, there are instances where this is indeed the case, as shall be seen in the results and analysis of this study (section 4), and it will then be discussed where relevant.

**Wave 4: The publisher’s editing stage**

The publisher’s editing stage is perhaps the most under-rated stage in transformation of creative writing to literature, which is an altogether important underestimation, as will be demonstrated on hand of the interviews with a prestigious translator, agent and two publishers of Bloomsbury publishing which I have conducted for the purpose of this study. In many ways this is the most difficult stage to ascertain; how indeed can we know which of the writer’s cognitive intentions and linguistic devices are left intact, and which have been edited by the publisher? The same question can be asked of agents, who also play an increasingly important role in the creative writing process, and are included here along with translators in the overall wave 4 of the publisher’s editing process. Thus the interview below in extract 4<sup>19</sup> with the literary agent Roberto Domínguez Moro is of great interest in this regard.

**Extract 4: Part of interview with literary agent Roberto Domínguez Moro of Acer****Literary Agency, Madrid.**

5) What are the specific mechanisms of introducing changes in a writer’s work based upon the reading and assessment done here?

RDM: We are 10 people, and 5 of those are dedicated to reading works. When an author comes to us with a finished work, we first read it and the three or four people who read it give out a report about the work, and give their opinion to the author; how they see the work, characters, topics. So if the three or four readers agree that a part of the work is not good, a scene is not well written, or should be taken out, if a character doesn’t have the necessary depth, then this is communicated to the author, and the author usually tries to work on this aspect. This is the process. It’s not one opinion, but various people giving

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<sup>19</sup> Full interview with this literary agent from Spain’s oldest literary agency ‘ACER’ can be found in appendix 9.

the input to the writer. Then the writer usually makes the changes that we find are necessary.

6) Do you have any examples of specific linguistic changes during this process?

RDM: There are authors who have a creative process that is more centered in the plot than in the language. So we have authors who lose perspective in the verbal tenses; one of the most important mistakes is that the structure of tenses does not always match in the narrative. Then also the concordance between characters and their actions, but of course every author is their own world, so there are different things which we correct for each specific case.

Evidently the extract 4 above showcases the extent to which the role of the literary agent in the creative writing process of growing in importance, and that actual linguistic changes can be made during this process, as the here following interview with the publisher Andy Smart will also demonstrate. Acting as an intermediary between publishers and writers, agents are thus increasingly taking into their hands not just matters of financial and digital rights, as Domínguez Moro goes on to state, but also actual plot, character or linguistic level changes in a work of fiction to optimize its potential impact when it reaches the publishing company.

Equally in correlation with the literary agents and publishing company must be a consideration of the role of the translator in the reading experience, a notion which has already been discussed in the Introduction of this study. In this regard, the here following extract 5 of the interview<sup>20</sup> with award-winning translator and director of this doctoral thesis Enrique Bernárdez is of great interest for the findings of this study.

Extract 5: Part of interview conducted with translator Enrique Bernárdez

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<sup>20</sup> Full interview can be found transcribed in appendix 8 of this study.

2) In the course of your vast experience in dealing with authors and publishers in your award-winning translations, how have these actors in the fiction process influenced your work?

EBS: Well, sometimes since the editors try to press you to translate in a certain way, to change certain things. But I never let them convince me, I had strong discussions with some of them. The translator cannot add whatever has not been written by the author. So if the author decides to write a paragraph in a certain way, using certain words, this is something you cannot simply change. This is something that Spanish editors very frequently ask you to do. You cannot change the style for instance into a neutral literary style. Of course I'm in a privileged situation because I'm not a professional translator who lives from it, but for many translators it is horrible because they are asked to do something that the author didn't want to do; to explain many things that the author didn't want explained, and so forth.

3) What about the contact with the writer during the translation process?

EBS: Well, yes. When I translated from Icelandic I translated six books by Guðbergur Bergsson (see list of literary translations by Bernárdez below), who is a very difficult writer and also a translator, I have been in touch with him. When there is something you just cannot guess what it means, or what is the intention. But usually writers are very much conscious of the work of translation, so that they do not want to interfere. This is the bad thing, when you are translating something from the Middle Ages; there is no way to get in touch with the author.

6) Was it different to translate famous authors like Hans Christian Andersen in comparison to some of the more unknown writers?

EBS: Both things have its positive parts. If you're translating someone who is very famous, you somehow share that fame, and people respect you more because you're translating an author they know. But I also like to be the first one to translate a book, even if the writer is not known at all, because it gives you some kind of proximity to the author. If there is no first translator, there is no translation.

Not only does the above extract give important insights into the relations between writer, publisher, translator and reader, but it also showcases the pressures to which a translator may be exposed – in this case in a specific translation market – by a publisher with a predisposed notion of how the work of fiction in question should sound. The translator's integrity in this regard is not only highly laudable, but also essential in the functioning of

the receptive equation of the writer-reader dynamic. And through such interviews as these, the procedural analysis method proposed here is given a heightened important. All the more so considering the here following revelations on the part of the publisher Andy Smart.

There are indeed instances in which revealing information is passed onto the outside world by publishers, as is the case in the interview with Bloomsbury publisher Andy Smart which shall be discussed below. In other cases, such as the interview conducted by the current author with British writer Andrea Busfield (2009) in April 2009 in Doha, Qatar, the author of the novel *Born under a million shadows* takes a stand on the new publishing house which had just opened in the Middle Eastern country, and gives keen insights into the importance of the publisher in the creative writing process in this particular context<sup>21</sup>: “It would be nice to see some homegrown fiction and it will be interesting to see what happens with the new publishers in Doha. I’m sure there is a wealth of talent in the region aching to be given a release. Hopefully this will give them a platform.” The British writer, who sold her Afghanistan-based novel to publishers across 14 territories, but crucially not in the Middle East, added that in a region known to be highly sensitive to controversial material, any attempts at censorship could derail the new publishing house: “Any form of censorship hinders creativity. If a publishing house is going to make a real go of it in Qatar, then there can’t be any censorship on work that comes through, otherwise the work wouldn’t be true. I can’t imagine a writer who writes

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<sup>21</sup> Interview published in ‘Literary Ambition’, feature article by Matthias Krug in The Gulf Times, Time Out feature section on April 23<sup>rd</sup> 2009:  
[http://www.gulftimes.com/mritems/streams/2009/4/23/2\\_286416\\_1\\_255.pdf](http://www.gulftimes.com/mritems/streams/2009/4/23/2_286416_1_255.pdf)

to please a national censor. If they feel any barrier I imagine they’ll look abroad to get published.”

From this highly contextual example of a writer talking about the publishing process with direct reference to the writer’s creativity, it is possible to ascertain the importance of the publisher in the creative writing process. The publisher can be seen as something of an idealized double of the eventual reader; ideas are sounded off him or her, and he or she must decide which creative writing will be transformed into published literature, gauging the possible audience and making the decision, essentially, based upon what will be profitable for the publishing company. But, as in the case above discussed by Busfield, it is evident that publishers can also have a negative impact upon the creative writing process, especially if censorship or fears thereof are included in the relationship between writer and publisher.

In extract 6 which follows, the publishers of the new publishing entity which Busfield was discussing talk to me about the publishing input in the creative writing process.

Extract 6: Interview conducted on the 3<sup>rd</sup> of September 2010 for the purpose of this doctoral study with the Publisher Andy Smart, of Bloomsbury Publishing (full interview to be found in appendix 2)

1) On hand of your own lengthy experience in the publishing industry, could you give an insight into just how important the publisher’s editing stage (Wave 4 in theory above), is in the Creative Writing process. That is, have your experiences mainly shown this stage

to bring about major changes in the writer’s work, and if so, what kind of changes were these (grammatical, plot changes, character additions, etc)? Can you give any striking examples of such changes?

*AS: The publisher’s input into the creative process varies enormously across genres, and from writer to writer. Some very high profile adult fiction writers effectively write only the plot, while the publishing house may then commission an ‘editor’ to write the text. Many children’s picture books are the product of close editorial direction by the publisher, who has an ongoing dialogue with the writer and the illustrator during the development process. In addition, for many writers working in large publishing ‘industries’ such as the UK, the agent may also play a significant editorial role, helping to prepare the MS for submission to publishers.*

3) In your time in the publishing business, have you made out a cognitive shift on the part of the publishers in general? Can it be said that the internet age and associated shorter attentions spans of potential readers (wave 6 in theory above) have led to a process of change in the publishing industry? Perhaps a shift towards more ‘saleable’ books – star autobiographies and so on - rather than purely literary novels (at wave 5)?

*AS: My own experience is too fragmented – in different areas of publishing including educational, children’s and general – to be able to comment in detail. However, it is clear to anyone in the publishing industry that commercial priorities and an increasing speed of production have characterized developments in the past 25 years. I would agree that more ‘saleable’ books are being published today, but not at the expense of literary*

*works. I don't think shorter attention spans, if the premise is correct, have impacted on the breadth of publishing. Likewise, I am sure that there are as many 'difficult' novels published today as there ever were.*

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The most significant findings to be extracted from this interview are that, as Andy Smart points out, some very high profile writers effectively only provide the plot of a novel or book, whilst the elaboration of the writing, and therefore very specific linguistic choices, are made by editors who are commissioned to write the text (Andy Smart: “*Some very high profile adult fiction writers effectively write only the plot, while the publishing house may then commission an ‘editor’ to write the text.*”) This may seem a startling observation at first glance. But essentially it confirms the notion that the publisher’s editing stage (wave 4) is an important factor to take into account in the creative writing process, precisely because this is where the leap to published writing is made. Without this stage, there can be no writer-reader dynamic, unless it is in the form of self-published novels. Thus, where possible, information pertaining to this wave should be taken into account in the analysis of the corpus of literature to follow. This notion seems to be confirmed in the second publisher interview which I conducted (see source 3 below) with Kathy Rooney of Bloomsbury publishing, who sees the role of the publisher as taking: “*the book from the individual sphere of the writer to the public sphere of the reader.*”

Smart also seems to generally agree with the assertion that modern rapid-consumption societies are changing the publishing industry and making for a move towards more saleable works of fiction, which again has a direct impact upon the author and what may

or may not be considered saleable writing and can have a great impact upon the work of the writer, the agent, the translator and the publisher.

Extract 7: Interview conducted on the 7<sup>th</sup> of September 2010 for the purpose of this PhD study with the publisher Kathy Rooney, of Bloomsbury publishing (full length interview to be found in appendix 3)

2) Would you agree then that the writing process involves another major cognitive player apart from the author and the reader – the publisher? And how many people and stages are usually involved in this publishing process from transforming the author’s idea into the linguistic end product in the form of the novel?

*KR: I have never thought of the publisher as a cognitive player. The publisher contributes the following main elements which take the book from the individual sphere of the writer to the public sphere of the reader: editorial, design, production, sales, marketing, publicity, distribution.*

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My own experience with publishers has also been important in changing the format of a proposed book. Thus for example the work on my children’s book *Karim’s Dream* was heavily influenced in genre by the publisher, who suggested first a regular children’s story book and then a cartoon strip which was more according to the wishes of the

sponsor of the project. Thus commercial considerations would have changed the entire format of a book project, as well as making for a marked shift in tone and content through the move to a comic strip. Needless to say, such editorial input is quite difficult to ascertain in the actual analysis of a piece of literature. Therefore the proposal of the ‘Wave Method’ is to take it into account where appropriate information exists, and if this is not the case to simply keep in mind that the writer-reader dynamic involves more than just those two principle actors in the fiction creation process.

### **Wave 5: Linguistic end product**

The linguistic end product is perhaps the most direct prospect for analysis in that it is readily available in the form of the published and purchasable book. It also forms the basis of the linguistic analysis of the ‘Wave Method’, and thereby gives key insights into the cognitive intentions which led to the creation of the piece of fiction writing. The culmination of this lengthy process is alluded to by Steele (2008: 233) when he writes that: “The reader holds all the cards; he has no obligation to the writer, while the writer has every obligation to him. That’s why writers cut and tweak, mercilessly, throughout the revision process, down to its final stages.”

Here we are already familiarized with the final stage of the ‘Wave Method’, which is the reader’s reception which will follow hereafter. This will be the stage at which the dynamic shifts from the writer’s cognitive apparatus to that of the reader, and it is important to note that it is the linguistic end product, or the book, which serves as a vehicle for this transfer. In the case of the novel ‘*Selfishness*’ written as part of this PhD

study, the linguistic end product was simultaneously sent to a variety of agents and test readers, as well as being displayed for free online download on the Escritores Complutenses 2.0 platform, thus attempting to optimize the reader impact of the writer’s first novel. After this initial test period of free download reading (in PDF format) the novel was then transferred into the current E-Book format (available on Amazon.com at: <http://www.amazon.com/Selfishness-ebook/dp/B005KN8388>), which will be discussed in the conclusion section of this study.

### **Wave 6: Reader reception**

“I think literature gives humans a refuge, a possibility to escape from a mediocre reality, and towards the world of fantasy.”<sup>22</sup> – Mario Vargas Llosa talking during the I Semana Complutense de las Letras.

Who is the reader, what is the essential purpose of reading, and what can be understood under the concept of reader receptivity? Vargas Llosa gave some key insights into these questions in his above mentioned words in Madrid in May 2011. We are of course all readers, and the cognitive process of reception commences from the moment we begin to read a particular piece of creative writing. In the conclusion of this study (section 6) it will be suggested to make further studies emanating from this one with a quantitative focus, but this will not be the focus of this study of qualitative nature. Here, the

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<sup>22</sup> Translated by author of this doctoral thesis, from the Mario Vargas Llosa speech at ‘Conversacion en la Universidad’, event during the ‘I Semana Complutense de las letras’ on May 4<sup>th</sup> 2011. See also Appendix 7.

importance of the reader’s receptive stage in the writer-reader process will be demonstrated through the use of the prototype reader utilized in this study. As Steele writes (2008: 233): “So much of what we state is implied; so much that we’ve spelled out can be deduced or imagined. Remember, the reader wants to participate in the story. Do all their imagining for them, and they feel left out. Furthermore, the reader’s imagination is a better writer than you or I will ever be, so why not let it do some of the work?”

Not only is the reader inclined to participate thus actively in the writer-reader dynamic, but as we have discussed and as can be seen from the words of Bernárdez in extract 8 below, this inspiration in the form of reading can lead to new creativity on the part of developing writers.

Extract 8: Interview with translator Enrique Bernárdez (full interview in appendix 8)

7) How do you see the importance of the translator in the reader-writer dynamic, in helping to reach a broader readership?

EB: Of course if you have a writer who uses his own language, let’s say Icelandic, which is the language I translate from, only 300,000 people would be able to read. Of course translation is absolutely necessary, also for writers in the language you’re translating to, because let’s say Spanish would be writers need examples in other languages. But most of these writers can manage with French and or English these days, but apart from that they need translations to have new models. Sometimes this can be problematic, something that has been studied and mentioned many times: the first translations of Faulkner, Joyce and so on, were very bad translations in that they were completely adapted to the Spanish literary style. There is nothing strange, nothing that is not literary as it should be. And so many Spanish writers thought they were learning to write Faulkner style when they were reading these translations. So, of course they didn’t do anything new, or anything that was not done in the 19<sup>th</sup> Century. So the translation is very important, because you can’t expect everyone to read all the foreign authors in their languages.

It is therefore evident that the last stage of the ‘Wave Method’ may also indeed be the first inspiration for new writers to take up in their own creative efforts. Having then elucidated the various stages involved in the creative writing process, the here following section proposes the concrete procedures to be taken in analyzing the given corpus of literary works.

### **2.3. Procedure**

Having thus examined the various stages which are involved in the creation of a work of fiction, it is now relevant to show how these will be part of the ‘Wave Method’ analysis proposed by this study. This section will then place the writer-reader dynamic discussed into the framework of analysis – that is to show where the linguistic and cognitive analysis can take place to highlight the cognitive transfer of fiction from the writer to the reader. Unlike my Master’s Thesis study which preceded this work and laid the groundwork for this literary application of the ‘Wave Method’, this study is not essentially a comparative one. In my work pertaining to the Master’s Thesis I placed a focus on juxtaposing the linguistic and cognitive devices employed by the politicians and their speech writers to achieve contrastive political aims. This is not to be the case here. The authors examined here are to be examined for their own merits and the very essence of what makes them successful writers in utilizing the writer-reader dynamic. If anything, rather than looking to showcase contrastive linguistic and cognitive usages, this study attempts to showcase cognitive and linguistic continuity – from Kafka to Borges; from Hemingway to García Márquez, from Borges to García Márquez, and so forth. There is the notion in literature, proposed indeed by Borges, that nothing can be claimed as an entirely new concept: ‘for him, no one has claim to originality in literature’ writes James E. Irby in the introduction to *‘Labyrinths’*, the aptly entitled short story collection by Borges (2000: 19).

With this overall arch of analysis established, it is equally important to note which direction this method proposes to take. Hamilton (in Ed. Semino 2002: 2) identifies two

major approaches to cognitive poetics or cognitive stylistics, which he sees as being synonymous terms. The first is a contextual line, which analyses literature from outside inwards, with the second being a rhetorical line which takes the opposite approach, analyzing the work from the inside out. Here there is a mixture of both techniques, for the ‘Wave Method’ takes the first approach in following the procedure of fiction creation, whilst in the procedure of analysis itself the approach is the latter, given that the linguistic end product forms the starting point as the strongest piece of evidence available as to the cognitive intentions of the author.

Thus the analysis of each piece of fiction will begin with the ‘receptive phase’, as I shall refer to it, of waves 6 and 5, where the prototype reader’s reception is considered on hand of the linguistic end product of the text. Thereafter, the analysis shall turn to the ‘productive phase’, which will incorporate waves 4, where there is relevant information available, as well as wave 3 and at times wave 2 as well. Finally, leading on from this analytical work the aim is to reach the ‘cognitive intentions’ of the author in writing the piece of fiction, which is to be deduced from both the worldly input at wave 1.

The here following ‘Literature Review’ section begins with an examination of the literature relevant to the inspiration for the ‘Wave Method’.

### **3. Literature review**

The literature of relevance to this doctoral study will be separated into three different sections, of which the first (3.1) will deal with the reading and necessary literature involved in my development of the ‘Wave Method of Cognitive Literature analysis’ introduced above. Thereafter, the second section (3.2) is concerned with literature concerning cognitive linguistics in general, as well as cognitive poetics in particular, this being the cross-disciplinary field of linguistic study which deals with cognitive aspects of literature and which is of crucial importance to the writer-reader dynamic developed here. Finally, the third section (3.3) will take into account the specific linguistic devices which will be examined in the works of literature in the results and analysis (section 4) of this study.

### **3.1. Literature of importance relating to the ‘Wave Method’**

At the outset of this literature review it should be noted that the analytical method introduced above in the previous section has both a practical input of knowledge from my own literary experiences as a young writer, as well as providing an entirely social and linguistic account of the process of creative writing. This latter application has a firm grounding in linguistic tradition, including Halliday’s (1978) notion of *language as a social semiotic*, which links language in the form of texts with social structures and relations, and opposes the traditional separation between language and society. Indeed this forms the basis of the understanding which is at the heart of the ‘Wave Method’, namely that there can be no complete understanding of the linguistic end product (wave 5) without a detailed examination of the societal forces involved. The assertion is thus that the literary works in the corpus cannot be analyzed adequately as a separate entity from the society and the culture in which they are produced and which often, but not always, also forms the target audience. This is what forms the first and sixth stages of the ‘Wave Method’; with society both providing the impetus and the final reception of the work of literature.

Thus, when Fairclough (1992: 38) pointed out that “discourse is studied historically and dynamically...”, the notion of dynamic discourse is of course relevant to the various human actors of the writer-reader dynamic discussed in this study. This dynamic nature is reflected in the various waves and in the procedural nature of this analysis. There is an entire production process involved in the creation of fiction, and to neglect this fact

would be to miss out on important features in the understanding of creativity in writing. The importance of a procedural analysis method was underlined by Fairclough (1995: 9) when he argued for the incorporation of such a far-reaching model: “In the three-dimensional framework for CDA I referred to earlier (text, discourse practice, sociocultural practice), the analysis of discourse practice involves attention to processes of text production, distribution and consumption.”

The production stages which Fairclough referred to here are of course emphasized in waves 1-3 of the ‘Wave Method’, encompassing the entire process from the first worldly inspiration for a piece of creative writing and continuing through the first writing wave and the various editing processes of the writer. Production and distribution in writing are highly dependent on the input of the publisher of the book in question. Although it can at times be difficult to ascertain the role of the publisher in specific cases where there is no relevant information available, it is still important to remember that the writer’s cognitive intentions in writing the piece of fiction necessarily took into consideration the persona of the publisher (and/or agent). Finally, Fairclough refers to text consumption, which in the case of the literary context analyzed here is the most important stage in the publishing process; for if there is no cognitive input on the part of the reader, there can be no claim to successful literature.

Finally, as I have mentioned briefly in the section pertaining to the introduction of the ‘Wave Method’, the concept of a ‘Wave theory’ is a rather familiar notion within the domain of linguistic research. It was employed by Bailey (1973), for example, to explain lexico-grammatical changes in varieties of American English, thus identifying aspects which Chomskian theory did or could not deal with due to the latter’s omission of social

explanations. Hence the ‘Wave Method’ developed here has a firm grounding in linguistic theory, while being adapted here to the specific case of cognitive literature studies in order to account for the entire social implications involved in writing and reader literature.

Having thus established the correlation of the ‘Wave Method’ within existing linguistic traditions, this literary review will now go on to discuss works of importance relating to cognitive poetics in specific.

### **3.2. Review of literature relating to the domain of Cognitive Poetics**

Having taken into account the wider linguistic background and inspiration for the analysis method to be utilized, it is now relevant to focus specifically on the cognitive and creative fields which are here to be developed in detail. The importance of cognitive studies within linguistics has grown exponentially and led Hogan (2003: 1) to write that: “It is customary to refer to the development of cognitive science as ‘the cognitive revolution.’” Furthermore, as Hogan (2003: 59) goes on to point out: “In the past decade or so, creativity has become an important topic of research in cognitive science, commonly under the rubric of ‘creative cognition’.”

This *creative cognition* is then the focus of this study, and as Hogan has shown it is clearly a topic of increasing importance within the ‘cognitive revolution’ in the domain of linguistics. However, for the purpose of this study it is equally important to place this relatively new and highly inter-disciplinary area of ‘creative cognition’ within the broader context of cognitive studies. As Sharifian (in R. M. Frank, R. Dirven. T. Ziemke & E. Bernárdez: eds, 2008) writes:

“One of the natural consequences of the development of interdisciplinary approaches to the study of cognition was a revisiting and in fact expansion of the notion of cognition...One group of scholars took interest in the interaction between the human mind and the environment. Hutchins, an anthropologist and a cognitive psychologist, and his colleagues, for example, observed that human

cognition constantly interacts with an environment that is rich in organizational resources (Hutchins 1994)...Another departure from the limited scope of cognition in traditional cognitive psychology has been equating cognition with action (see Bernárdez this volume) as well as activity that is socially situated...”

It is thus evident that the varying cognitive approaches which have been taken, including that equating cognition with action by the director of this doctoral study, in the rapidly expanding field of cognition have served to open the horizon to a broad spectrum of further studies in related fields. This is a broad inter-disciplinary background which is essential when studying the impact and relevance of cognitive poetics as a relatively new and still emerging discipline. There should be no great doubt that the orthodox literary analysis of works of literature still enjoys more widespread appeal and prestige than the cognitive approach proposed by this study and others of similar nature which shall be examined shortly. But I will attempt to show here that this balance is indeed shifting and that a greater focus on cognitive literary analysis is not only to be expected, but also essentially inevitable given its obvious merits, which I shall discuss now.

Of great and continuing importance to this study is the work of Reuven Tsur (1983), the scholar credited with initiating the term ‘cognitive poetics’ and developing many of the early links between cognitive science and literature. Indeed, the better understanding of literature which Tsur aimed for through the use of cognitive science forms the backbone of the first and third hypotheses which this study aims to prove: namely, that the ‘Wave Method’ provides a systematic and structured method for the analysis of the

writer-reader dynamic in literature, and that successful literature actively incorporates the mental impulses of the reader and thereby transfers fiction actively and dynamically from writer to reader. Essentially, Tsur (1983) argued that the complex nature of a literary work is best understood with the assistance of cognitive mechanisms, which is an assertion that is as important today as it was then. What these mechanisms are in concrete terms will be examined in the here following section (3.3) of the literature review.

Finally here, the most recent developments in the domain of cognitive poetics need to be considered in order to place this study within these new parameters. Tsur (2003) writes in his abstract for his book “Aspects of cognitive poetics”:

“(Cognitive poetics) accounts for the perceived effects of poetic texts, and relates perceived effects to poetic texts in a principled manner. What is more, cognitive poetics has a lot to say about thematic, semantic, and syntactic structures, the reader's cognitive style preferring one or another "mental performance", rhyme patterns, and their interaction in generating the perceived effects.”

It is evident then that the ‘principled manner’ in which Tsur envisions the cognitive analysis of poetic texts is indeed reflected in the consciously procedural form of the ‘Wave Method’. Furthermore, when Tsur refers to the ‘perceived effects’ of a poetic text, this is again a key feature of the analysis method proposed here, which places a keen emphasis on the prototype reader’s reception of the literary text. The perception can be seen as the mental performance activated in the reader’s mind by the writer’s words on

paper: the writer-reader dynamic as it is referred to in this study. While Tsur refers to poetic texts, which can incorporate a whole range of texts including poetry, short stories and literature, all of which may be seen as ‘poetic’, this study focuses indeed on two forms of fiction writing; the short story and the novel form. Still, the perceived effects remain the same, and they are at the heart of what is being analyzed here. In this respect of generating perceived effects the work of Gerrig (1993) should also be considered, as he argues that writers actually willingly prompt their readers to be creative. This notion is of course shared by the present author, who argues that successful writers must indeed prompt their readers to be creative in order to keep the attention threshold high and ensure the continued reading of a work of literature in a modern world where attention is being fought for with much voracity by a whole plethora of competing media and related influences.

### **3.3. Review of literature relating to specific linguistic devices analyzed in this study**

Perhaps the most important segment in terms of practical applications in this literature review is that relating to the actual linguistic devices as well as cognitive mechanisms to be analyzed in the results and analysis (section 4) of this study.

The basic interaction taking place in a literary reading is, as we have seen in the ‘Wave Method’ introduced above, the transfer of the fiction from writer to reader. But as one of the main research questions of this doctoral study asks: what actually makes for a successful such transfer? To begin with it is important to take into account what Stockwell (2009: 22) recounts in his examination of ‘resonance’ in literary reading: “The degree of resonance in any given literary reading is not simply a matter of the stylistic power of the text, but is also a matter of the reader’s intensity of alertness, degree of resistance, or willingness to invest themselves emotionally in the experience.” A number of key concepts have been introduced here which will become very useful for the actual analysis of the literary texts in the section to follow. Firstly, the term ‘resonance’ in this context can be taken as a combination of the success, significance and style of a given piece of creative writing. This is a central concept and will be examined in the corpus of literary texts chosen. Secondly, Stockwell makes a crucial inclusion in extending “resonance” to the realms of the reader, which can of course be directly applied in the writer-reader dynamic, which Stockwell refers to as the “reader’s intensity of alertness, degree of resistance, or willingness to invest themselves emotionally in the experience.” Indeed the latter word choice must be said to be entirely fitting, for in successful fiction reading indeed becomes a stimulating cognitive experience which activates already

existing mental schemata in the reader’s mind and blends these with the input of the fiction at hand, as shall become evident from the discussion of ‘Blending Theory’ which follows here.

Thus we arrive at the very essence of this study, namely the concrete mental processes taking place both on the part of the writer and the reader in the dynamic transfer of fiction. It is advisable, then, to start at the most essential schematic building blocks of the human mind. When Semino (2002: 104) points out that “once a schema is activated, it drives further processing by generating expectations and inferences,” this is highly relevant to the reading process. This study shall even extend on this notion by suggesting that once a schema, this being the most basic building block of the human construction of meaning, is activated, the reader automatically begins to bring into the reading experience their own knowledge and worldly experiences related to that specific schema. This shall be demonstrated (in section 4) on hand of the prototype reader utilized in this study. But by extension Semino’s findings are equally relevant to the writer’s mind, which is responsible for the task of actually creating the content of the short story or novel, and thereby *activating* the relevant schemas in the reader’s mind. The writer is thus implicitly involved in the reader’s schema activation, and has a key input in the ‘expectations and inferences’ which are created. If this were not the case, the writer-reader dynamic would be an unsatisfying experience indeed for the reader. That this is not so in the corpus of works chosen is due to the concerted and systematic activation of mental schemas in the reader’s mind by the writer. This is achieved through a variety of fiction-specific mechanisms which include, as Semino (2002: 251) writes: “Characters (who) arise as a

result of a complex interaction between the incoming textual information on the one hand and the contents of our heads on the other.”

Characters may indeed be seen as the pulsating heartbeat of the fiction experience, precisely because the reader can make the very real schematic connection to the human experience which is portrayed through them. The textual information created by the writer, as Semino points out, forms part of the equation, but it is equally augmented by the reader’s own experiences and memories which are stored in the mind and unconsciously incorporated into the reading process. This makes fiction such a fascinating and essentially dynamic cognitive experience, one which can be entirely different for each reader involved, and as Semino (2002) expounds, this makes for the veritably ‘complex interaction’ which will be studied in greater detail in each of the literary works which form part of this corpus. Furthermore, as Tsur manifests (in Ed. Semino 2002: 281) in this regard: “The cognitive correlates of poetic processes must be described, then, in three respects: the normal cognitive processes; some kind of modification or disturbance of these processes; and their re-organization according to different principles.” The analysis of the act of reading, which is the first step in the analytical method proposed here, can be seen thus in light of a *voluntary* modification or disturbance of normal cognitive processes. That is, the reader is activating existing mental spaces in a modified manner, importing new cognitive impulses from the act of reading, and helping thereby to create a new reality in the form of that reader’s particular understanding of the linguistic end product.

At this stage it is important to make the distinction between the framework known as ‘conceptual metaphor theory’, which has its origins in the work of Lakoff and Johnson

(1980), and has become “one of the central areas of research in the more general field of cognitive linguistics”, as Grady, Oakley and Coulson wrote in their incisive article ‘Blending and Metaphor’<sup>23</sup>, and ‘blending theory’, which shall be adapted for usage as part of the ‘Wave Method’ in the metaphors analyzed in this study. The above mentioned article indeed states that there is a complimentary nature about the two theories which means they should not be seen as competing frameworks, but it also states that “CMT posits projection between two mental representations, while blending theory (BT) allows more.” This broader range is what makes the blending theory so useful in the current study, in that it allows for the input of various elements in the creative writing process, and thereafter also in the reader’s receptive stage.

Furthermore, as Grady, Oakley and Coulson state in ‘Blending and Metaphor’, “In BT, by contrast, the basic unit of cognitive organization is not the domain but the ‘mental space’”, and it is this concept of mental spaces which shall now be examined. As Fauconnier and Turner (2003: 40) wrote: “Mental spaces are small conceptual packets constructed as we think and talk, for purposes of local understanding and action...Mental spaces can be used generally to model dynamic mappings in thought and language.” And just as mental spaces are constructed when we think and talk, they are equally constructed by the writer in the creative writing process and by the reader when we read. Indeed, these mental processes in the mind of both the writer and the prototype reader shall be analyzed in the here following analysis of literature. It is also important to consider that Fauconnier and Turner (2003) argued for a connection between mental spaces and long-term schematic knowledge called ‘frames’, thus effectively bringing a further factor into the reading equation; the already existing knowledge which the reader

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<sup>23</sup> Accessed at [www.markturner.org/blendaphor](http://www.markturner.org/blendaphor) on 23rd of March 2011.

brings to the reading and which may be changed, challenged or altered into a new reality by the words which the writer has created. We are thus confronted with the concept of ‘cross space mapping’, as Fauconnier and Turner (2003) refer to it, which can be either partial or full in nature. What this effectively means is that the contents of two or more mental spaces are mentally mapped and produce a ‘generic space’, this being the information both spaces have in common. This ‘blending’ of mental spaces then produces the ‘emergent structure’, an elaboration of the two or more mental spaces which is the dynamic running of a blend. What sounds rather complicated is in fact very simply explained by Fauconnier and Turner (2003), and provides an important theoretical background for this doctoral study. For it is not only the reader who is continuously blending mental spaces during the process of reading. There is also the factor of the author’s creation process of the fiction writing to consider. It can be argued that the creation of fiction in particular is a writing exercise which is a blend of one ‘creative space’, as I shall refer to it in this study as a very simply adaption of the formidable preceding work just examined, which is the worldly input (wave 1) and the input and inspiration which it inevitably produces (to greater degrees in some works than in others, but always present in some form), as well as a second (or third or fourth) creative space which adds the fictional input into the blend. What results in the emergent structure is then the fictional writing which is the linguistic end product that the reader then unconsciously blends into his or her own worldly experience creative spaces to create an equally new emergent structure. Thus, this study argues that it is not only the writer who is creative in the writer-reader dynamic, but also the reader.

It is also interesting in this regard to consider the work of Stockwell (2009: 7) on prototypicality in the fiction process, when he points out that “there is a great deal of evidence to suggest that categorization is very much fluid, provisional, adaptable and contingent.” It is then this contingency which makes fiction such a formidably creative cognitive process on both sides of the writer-reader dynamic. Certainly there would be much less creativity on the part of the writer and a great deal more repetitiveness and boredom in the writing process if the writer’s cognitive mechanisms were inflexible. As it is, the very alterations of existing cognitive patterns make for the most creative works in the world of literature, as shall be visited upon later in the results and analysis section. At this stage, however, it seems timely to ask the question: what is referred to here by the concept of categorization? Essentially, the mental processes of both writing and reading must be examined in this regard, for it is here where the most important transfer of the writer-reader dynamic takes place.

To come closer to this essence of the creative writing process, this literature review shall now proceed to the actual mental processes which take place in a fiction reading. For as Fauconnier and Turner (2003: 48) assert: “We rarely realize the extent of background knowledge and structure that we bring into a blend unconsciously...blending operates over the entire richness of our physical and mental worlds.” This introduces two new concepts into the equation considered so far; the *extent* of background knowledge on a given subject being discussed, and the matter of unconscious blending. That is indeed an interesting notion to consider, for the reader in a successful work of fiction is never entirely conscious of the mental processes being sparked by the reading of a work of fiction. As we shall see in the Results and Analysis, the writer of the work of fiction, on

the other hand, must be entirely conscious of the mental effects his work may have upon potential readers if it is to be a successful work of fiction. This is then a finely poised juxtaposition in the writer-reader dynamic: the writer must consciously activate the unconscious mental mechanisms of the reader. If this correlation is unbalanced, say by an unconscious and therefore uncalculated stimulation on the part of the author, or even by a conscious activation on the part of the reader in the form of over-obvious cognitive stimuli, then the dynamic between both runs the danger of being severed. As Borges (2000:124) wrote in the short story ‘The secret Miracle’, which is a part of the collection ‘*Ficciones*’: “Meticulously, motionlessly, secretly, he wrought in time his lofty, invisible labyrinth. He worked the third act over twice. He eliminated certain symbols as over-obvious, such as the repeated striking of the clock, the music.”

Apart from a fantastic insight of likely autobiographical nature into the writer’s editing stage (wave 3) of the ‘Wave Method’, this extract highlights both the fantastically elaborate labyrinths which Borges continuously wove for his readers through his fictions, as well as the necessity to find a subtle manner of activating the reader’s mental mechanisms by striking out ‘over-obvious’ elements. The reader is thus incited to become an active part of the writer-reader dynamic. In order to fully understand the fiction writing at hand, the reader must then become actively involved in the reading of the linguistic end product at hand. What is asked from the reader is therefore actually creativity in the reading process.

So what are the specific mechanisms and linguistic usages which the author may employ to create this creativity and thereby stimulate the unconscious mental impulses of the reader? Fauconnier and Turner point to such options as “implicit counterfactual

spaces” (2003: 87), or, in terms of the writer-reader dynamic discussed here, mental spaces which the reader must then activate implicitly in order to find the full meaning to a story. It is the creativity, and by extension the imagination of the reader which is thus triggered. In this regard Fauconnier and Turner (2003: 89) write that: “conceptual integration is at the heart of imagination. It connects input spaces, projects selectively to a blended space, and develops emergent structure through composition, completion, and elaboration in the blend.”

It may be argued that all the works of fiction examined in this study are heightened examples of creativity and imagination on the part of the writer, a notion to be analyzed in depth in the here following analysis. However, as shall become event in the following section, each of these works also actively, and *consciously*, stimulates the reader’s imagination. There is thus heightened creativity involved on both sides of the writer-reader dynamic. Hence, for example, Hemingway’s technique of purposeful omission of certain details will be examined (section 4.3) in order to display his intentional stimulation of the reader’s creative mental impulses.

But which specific cognitive mechanisms are involved in the reader’s cognitive creativity? In this context it is relevant to point to the work of Fauconnier and Turner once more (2003: 279), as they write that: “conceptual integration always involves at least four spaces: two input spaces, a generic space, and a blended space.” This recap of the previously covered concept of blending theory takes on even greater importance when we consider the actual purpose of the blend: that being to better understand the reality which the writer is referring to in the metaphor or image schemas chosen in the linguistic end product. Indeed this concept of creativity then has as its final outcome the re-

structuring of the reader’s fictive reading world according to the writer’s cognitive input. This is then both voluntary, in that the reader actively decides to continue reading despite the fact that the severance of the writer-reader dynamic is easily achieved by the simple measure of putting down the book, and also essentially subconscious, in that the spaces mentioned by Fauconnier and Turner (2003) above are activated without the reader becoming conscious thereof. But both also assert (2003: 382) that despite this subconscious activation, or perhaps precisely because of this, the mental structures employed in creativity are firmly grounded in our everyday thinking: “all along, we have stressed creativity and novelty as consequences of conceptual integration. But creativity and novelty depend on a background of firmly anchored and mastered mental structures.”

The implementation of creativity is then actually seen by Faconnier and Turner (2003: 383) as being formed on the basis of an entirely conservative mental apparatus: “Human culture and human thought are fundamentally conservative. They work with mental constructs and material objects that are already available.” This is what has been alluded to in the introduction of this study as the notion that the cognitive apparatus of a writer is indeed the very same as that of the reader, which is also what makes the writer-reader dynamic possible in the first place. For if the writer could not in the editing stage (wave 3) put himself into the role of the reader and analytically edit his work according to the needs of the perceived audience, then there would perhaps be no real foundation for the successful works of fiction which shall be examined hereafter.

At this stage it is interesting to examine the work of Hogan (2003: 44) on creative cognition, as he expounds on the lexical aspects of cognitive science: “there are three types of lexical feature complex that play a crucial role in cognitive science: schemas,

prototypes, and exemplars.” Hogan thus points to the use of procedural schemas in everyday life which allow us to follow procedural scripts such as the following series of inter-connected events: begin by going to a restaurant, then order food, thereafter wait for food, and so forth. In precisely the same way, Hogan (2003: 44) comments, the process of reading a novel is governed by the constant attempt on the part of the reader to locate the usual procedural schemas of a novel. Within these procedural schemas it is possible that a reader may be looking out for what Hogan above called prototypes, these being standard cases of schemas in which all defaults are in place. Thus when a reader picks up a novel in a bookshop or elsewhere, there is the established procedure of first finding out about what the book shall be, by looking at the title, the back cover, and perhaps by reading the first few lines. Then, when the purchase or decision to read has been made, there is the expectation of encountering an introduction with the likely introduction of characters, the progression of a plot which usually contains some major problem for the main characters to resolve and should duly unfold without too much space for boredom to unfold in the reader’s mind, and the final conclusion of events in the final part of the story. According to these various stages in the reading process, the Results and Analysis here has been divided into four sub-sections in each case, which are based upon the procedural schemas of reading: the title, introduction, progression and conclusion.

These being the basic expectations of the reader, there is however also the necessity on the part of the author to vary some of these schemas in order to create the very necessary sense of novelty and excitement which every successful work of literature procures in the reader. This aspect of variation of schemas is perhaps slightly implicit in Hogan’s work. However, what Hogan (2003: 46) does very interestingly point out is that

cultural implications also play a large part in the conceptualization of prototypes, elucidating that: “someone living in Norway is likely to envision the prototypical man as having blond hair.” This is a very valid observation in that the cultural variables are indeed highly interesting to examine on both sides of the writer-reader dynamic, and also form part of the research questions and hypotheses of this study. Indeed, it is not only the reader whose cultural variables are of interest – it is of course also the writer who is influenced in the creative cognitive choices of the initial creative writing (wave 2) by the culture and surroundings in which he or she works. Thus a writer such as Hemingway, writing about Spain in the classic war novel ‘*For Whom the Bell Tolls*’, is influenced by both the inherent American prototypes of his youth and upbringing, as well as the Spanish influences of his worldly experiences as a war correspondent in the Spanish Civil War and his acquired knowledge of Spanish culture. So which prototype might in this case be the dominant one – or indeed are both influences to be found? And which variations of these prototypes might be undertaken on the part of the author to bring about the heightened sense of novelty and creativity in the reader’s mind which we have just discussed?

These interesting questions will be discussed in detail in the Results and Analysis section concerned with the work of Hemingway (section 4.3). There it will become clear that Hemingway indeed uses exemplars, these being specific examples of an entire population of potential characters, to great effect to create tension and dramatic confrontations between his characters, who are from different cultures but united by a joint cause. For as Hogan points out (2003: 47): “When authors set out to write in a particular genre, they themselves draw on feature hierarchies, and contrastive prototypes,

as well as salient exemplars...authors also follow scripts. Both authors and readers rely on procedural schemas.” Thus not only must the author attempt to place the piece of writing within an established genre, but must then also create feature hierarchies and develop contrastive prototypes which set the work apart from other works of literature within the same genre. Creative writing is then essentially just that: specific knowledge in the process of placing work within the existing framework of work, and creativity in setting it apart from other work in that genre.

It is then quite clear that creativity itself, in its very basic and most cognitive sense, plays a vital role in the creative writing process; from first inspiration in the writer’s mind to final reading on the part of the reader. But how precisely is creativity to be defined in this context? Hogan (2003:60) sees creativity as being linked to knowledge across many fields, and additionally singles out remote mental associations as a source of creative cognitive solutions. Thus when Hogan (2003: 65) finds that “a creative work shifts to more distant connections”, this is again a reconfirmation that the notion of knowledge across various fields can indeed lead to a greater creative output. Additionally, this is indeed a valuable observation with regards to the current study, as it effectively implies that the successful work of fiction needs to pass by the most obvious mental connections and opt for the more remote associations which can often be found in the works of the literary greats examined in this study. Thus, to outline very briefly some of the expected findings of the here following section, Nabokov opted for distant connections with regards to word choice, Kafka and Borges did so in terms of plot and resonance of their writing, whilst Márquez opted for the style of magical realism and Hemingway for his overwhelming stylistic simplicity to move away from existing structures imbed in their

work a sense of creativity brought about by more distant connections. Each of these unique alterations to the previously existing norms will be discussed here shortly (section 4), but it serves the theoretical analysis at this stage to show the theoretical distinction between creative and non-creative activation in the cognitive thought process, as Hogan (2003) proposed in the mental activation patterns displayed in table 2 below.

**Table 2: Mental activation pattern: non-creative activation (Adapted from Hogan: 2003)**

Note: With 1 as threshold for activation

<i>Input node</i>	<i>Output node</i>	<i>Activation strength</i>
White + Skin	Lilies	+1
White + Skin	Ivory	+ 1
White + Skin	(Nothing further)	

Thus this first, non-creative mental activation pattern might be an example of an unsuccessful writer’s work, if we may refer to it as such, who would opt for the immediate mental association when trying to produce a metaphor to replace the two input nodes ‘white’ and ‘skin’. Here, the cognitive associations created are lilies and ivory, both of which are activated strongly at a level of + 1. However, after these strong

associations there are no further activations in this particular (imaginary) writer’s mind. As Hogan states (2003: 66) about this case example of a writer being ‘stuck’ in the creative process: “We feel stuck because we keep going over the highly activated nodes, with no evident alternatives. The activation of these nodes has left other nodes – including those nodes that would lead to a solution – with zero or, at best, sub threshold activation.” This then comes in stark contrast to what Hogan refers to as the creative activation of mental nodes, and what this study would refer to as the cognitive mechanisms of a successful writer. Of course success is a relative concept, as is the mental activation pattern proposed by Hogan because it is essentially immeasurable in specific cases. However, what it does show very efficiently is that there is a difference in activation patterns between the creative and the non-creative writer, and as this study shall argue, this difference is essentially entirely voluntary and *conscious*. That is, this study argues that a non-creative activation pattern can be changed through continuous practice and mastery of the art of writing into the creative pattern we can see below in table 3.

**Table 3: Mental activation pattern: Creative Activation (Adapted from Hogan:**

**2003)**

Note: Activation threshold pushed below 1 and flexible

<i>Input node</i>	<i>Output node</i>	<i>Activation strength</i>
White + Skin	Lilies	+ 0.9
White + Skin	Ivory	+ 0.85
White + Skin	Oats	+ 0.8

White + Skin	Whitewash	+ 0.7
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In the example brought up by Hogan (2003), the writer has utilized the metaphor of oats instead of the more common-place associations, despite the higher activation strengths of the first two output nodes. This is the variation effect which can be seen in the creativity examined in the corpus of important 20<sup>th</sup> Century literature visited upon hereafter. As Hogan (2003: 67) explains about the concept show in table 3: “there is not a sharp distinction between standard and strange associations here...At the same time, the commonplace images are not so fully and unequivocally activated themselves.” This is then the actual practice of creativity; opting for the less common-place and more remote mental associations which will induce in the reader’s mind a more vivid understanding of the concept that is being described. For it is indeed this novelty which makes the reader understand a concept which might otherwise – with the normal association of lilies or ivory for example, become a bland and unremarkable metaphor which does not create a heightened cognitive impact in the reader’s mind. Indeed a fourth column might be added to the tables above which would incorporate the activation of the particular metaphor in the reader’s mind.

Of course this concept of associative creativity is not necessarily limited to metaphors, but can also contain other elements such as plot, tone, character and style. The first author to be examined in the corpus chosen for this study, Kafka utilizes this remote association in terms of character and plot, by having his main character in the story ‘Metamorphosis’ turn into an insect at the start of his most famous story. Thus the reader is immediately

captivated by this unusual creativity (as shall become evident in section 4.1 on Kafka’s ‘Metamorphosis’).

From my own experience working on the children’s book concept for the story ‘Karim’s Dream’, the example of character springs to mind in the choice of the grandmother to be the leading secondary character and reference point for the young, football-mad boy. There is thus a reversal of the usual boy-father-grandfather support cast, as the writer has chosen a more remote activation, and this is especially relevant in that the target readership (at wave 6) was taken into account in this decision. In the target readership of the Middle East for which the story was designed, the still developing emancipation of the woman in a patriarchal society would have enabled that this character choice would ensure a heightened cognitive activation on the part of the reader. An essential question for the young and still developing writer would then seem to be: do we have a control mechanism which suppresses implausible but perhaps more highly creative cognitive links, and can this threshold be deactivated voluntarily in order to bring about the model of creative activation shown in table 3 above?

Fortunately for the developing writer, and very much in line with the notion introduced by the Hogan in the introduction to this study that heightened creativity operates with the very same cognitive processes available to all human beings, it seems that creativity is indeed learnable. But how would this be possible? Mastery of the schemas and concepts of fiction and creative writing seem to be an important aspect in deactivating the threshold of remote associations. For as Hogan (2003: 68) writes: “Mastery allows us to limit associations in ways that make it more likely our associations will be appropriate.” Relevance thus takes on an important role in the cognitive creative

writing process. This is an interesting observation with regards to the ‘Wave Method’, since there is the relevance to the intended audience which needs to be taken into account on the part of the writer. Without this sense of relevance, a work of fiction may fail to arouse the necessary cognitive activation in the reader’s mind and lead to the reader putting down the book. So if mastery is the overriding objective of the writer, then how is this entirely abstract concept achieved in specific cognitive terms?

According to Gardner (1982: 175), mastery is a long-term acquisition of domain-specific schemas, and at least ten years are needed to progress from novice to master in any domain. For Gardner, creativity consists of varying those acquired schemas, with the existing schemas representing continuity, while the variations come to show innovation. This notion is extended by the parameters put forward by Hogan (2003: 72) when he states that: “in successful and enduring works, an author may draw on his/her own autobiographical experience to complete these schemas.” These worldly experiences can be described in such vivid terms by the writer – precisely because they actually form part of the writer’s own bodily experiences, that they provide a sense of authenticity in the reader’s mind. Thus authenticity, a notion highlighted in the writers of the Results and Analysis section hereafter, seems to be an important factor in successful works of fiction, as actual life experiences become enmeshed in the fiction process and form a blend of reality and fiction which is then the linguistic end product which the reader takes in.

Besides including a measure of authenticity in the fiction experience through the worldly input (wave 1 of the ‘Wave Method’), there is also the concept of cross-cultural influences which need to be taken into account, especially considering the hypotheses and research questions of this study. For Hogan (2003: 79), “radical innovation in the last

three centuries – from Goethe through Picasso – has been bound up with cross-cultural influences.” This viewpoint of Hogan would seem to confirm the link presupposed by the hypothesis that cross-cultural influences decisively shape cognitive and linguistic choices of the writer, and therefore play a crucial part in writing cognitively and creatively. Of course this notion needs to be confirmed in the analysis itself. But through which linguistic parameters will this confirmation be attempted? We have already touched upon the notions of word choice, as well as the resonance, rhythm, tone and style of a particular piece of fiction writing. What follows here is a brief discussion of the key linguistic and cognitive concepts of metaphors and image schemas, which are respectively crucial factors in the analysis of the linguistic end product which is the work of fiction.

Thus when Hogan (2003: 99) finds that “the metaphors employed by great poets are unusual or striking variations on the standard metaphors,” this is once again confirming the notion of variation forming an important aspect in creativity, this time related to the specific domain of metaphor usage. For ‘great poets’ we can equally insert ‘great writers’, and again there is the emphasis on standard metaphors forming the foundation of the variation through previous experience and knowledge on the writer’s part: essentially, mastery. In this respect Lakoff and Turner (1989) identify four ways of moving away from standard metaphors: these being to extend ordinary metaphors, to elaborate them, metaphor composition, or questioning of existing metaphors. But why is this grounding in existing metaphors so necessary? The answer is to be found in the expected readership (at wave 6), for as Lakoff and Turner (1989: 5) found: “we know unconsciously and automatically many basic metaphors for understanding life.” Thus the basic metaphors

seem to be the connection which secures the reader’s understanding, whilst the variation serves to enhance the cognitive impact of the metaphor in the mind of the reader, thereby helping to bring about a new understanding of the concept being discussed in the piece of writing. Metaphors can then serve as an important piece of linguistic evidence of creativity, for as Lakoff and Johnson (1980: 3) found, metaphor transcends the mere linguistic and finds its way into the cognitive system of the mind: “Our ordinary conceptual system, in terms of which we both think and act, is fundamentally metaphorical in nature. Since communication is based on the same conceptual system that we use in thinking and acting, language is an important source of evidence for what that system is like.”

Creativity, in terms of variation from the existing or common forms of metaphor, must then be examinable in the linguistic end product, which is what is being attempted by the ‘Wave Method’ (in section 4 below). The purpose of this examination will however not be the categorization of metaphors, which has been done previously with much success by others including Lakoff and Johnson. Nor indeed is a quantitative analysis of metaphors the purpose of the current study, but rather to show through specific examples found in the literary corpus to be examined how the writer employs creative metaphors to make a heightened impact in the reader’s mind. This was what Lakoff and Turner (1989: 54) referred to when they wrote that “authors may call upon our knowledge of basic conceptual metaphors in order to manipulate them in unusual ways.”

These instances of unusual metaphors will be examined here in the context of the ‘Wave Method’ and subjected to a structured analysis which will also take into account the notion of image schemas, which are often part of both mental spaces and metaphors

as the basic building blocks of the human cognitive system. For in this reorganization of the reader’s usual cognitive mechanisms lies the real thrill of reading, as Lakoff and Turner found (1989: 214): “That is an important part of the power of poetic metaphor: it calls upon our deepest modes of everyday understanding and forces us to use them in new ways.” These new ways are then the creative impulses which the writer attempts to instill in the reader’s mind through the writing. If this dynamic transfer is successful, the now following Results and Analysis section shall attempt to show exactly how this transfer has taken place, and just why it can be referred to as dynamic rather than static.

## **4. Results and Analysis**

The basic devices to be studied here in each work of fiction are to be both cognitive and linguistic. Of the latter, the study of metaphors, image schemas and word choice as well as word composition will be examined. Of the former, the cognitive mechanisms involved in structural, stylistic and plot-related issues are of central importance, but of course both notions overlap in that the cognitive intentions of the writer include the choices of the linguistic devices discussed above.

The notion of the reader’s interpretation is equally crucial here. Given that each reader takes an entirely unique approach and interpretation to reading, there would seem to be an impossibility of fixing a so-called ‘reader’s receptive impact’ in general terms. Thus what this study has done is to take the author’s role as a reader and turn him effectively into a prototype reader. This is done to show both the feasibility of the ‘Wave Method’ employed here in the analysis, and also due to constraints which limit the scope and length of a single doctoral study. However, further studies, or even research projects, are implicitly waiting to follow on from this one and will be recommended in the Conclusion (section 5). For this particular analysis which is now to follow, the present author acts as a prototypical ‘reader’, hence the references to what the ‘reader’ might think and feel as a result of the linguistic end product that is the work of literature analyzed.

In this regard, as mentioned previously, the different stages of the ‘Wave Method’ have been divided into three main stages for the purpose of this analysis. Finally, it should be noted that besides recurring to individualized tables when and where fitting,

there will be two main types of tables to illustrate the results of this study, which will provide conformity throughout. These are the following.

Table type 1

<u>Actor</u>	<u>Creative Space 1</u>	<u>Creative Space 2</u>	<u>Creative Space 3</u>	<u>Generic Space</u>	<u>Emergent structure</u>
Reader					
Writer					

Table type 2

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Reader					
Writer					

Having laid out the basic perimeters of this analysis, the study now progresses to the first work of fiction studied, which shall be preceded by a brief contextual introduction to the life and work of the writer in question.

## **4.1 Franz Kafka’s ‘Metamorphosis’**

The analysis of this corpus of important literary works begins with one of the most unique, daring and diversely interpreted writers of the 20<sup>th</sup> Century: Franz Kafka (1883 – 1924). Of Czech nationality, but a writer in the German language, the Prague-born Kafka published relatively little during his lifetime (Fechter, 1952: 489). Kafka’s lifetime saw only a select few titles published, amongst them the short story ‘Metamorphosis’ which is to be examined here, whilst the majority of his work was published posthumously. This can be seen from the picture in appendix 6 in which the announcement from the 7<sup>th</sup> of December 1926 in the *Frankfurter Allgemeine Zeitung* calls attention to: “Kafka’s unfinished novel ‘The Castle’ appears after the death of the author.” This is significant in the thematic analysis which follows for its relevance as one of the few published stories as Kafka struggled to realize his writing ambitions against the pressure of everyday necessities in the workplace world.

‘*Die Verwandlung*’ in the German original, created and written in November and December 1912, would indeed become one of his most lasting works. Countless volumes have been written in attempting an all-encompassing analysis of both Kafka’s work in general (such as Mueller 2009), as well as ‘Metamorphosis’ specific work (including Beicken 2007), and finally work with an altogether different orientation like the Jewish orientated analysis of Groetzinger (1992: 7), who writes: “*Schliesslich hat sich die Rezeption dieses Erzählwerkes für eine Vielzahl von Deutungen als geeignet erwiesen,*

*die allesamt ohne die jüdische Komponente auskommen konnten.*”<sup>24</sup> It is precisely this breadth of interpretations which makes this work so fascinating for the ‘Wave Method’ cognitive analysis, which takes into account what each different reader brings to the reading. Thus, for example, a Jewish reader will interpret Kafka’s ‘Metamorphosis’ in one way, perhaps similar to the way that Groetzinger analyzed the texts, while a reader without any knowledge of the Jewish religion may bring an entirely different world view to the reading. Which interpretation, then, is correct? The answer which is developed in the here following sections would seem to be that each is correct in the context of its own entirely specific writer-reader dynamic.

#### 4.1.1 Title: Readyng the cognitive terrain

Thus let us begin with the analysis at the very beginning, with the very first cognitive reference for the reader – with the title. Incidentally, it is normally this very title which the author places, as deftly or aggressively as necessary, as the final, provocative or incisive touch. From own experience, and also from other writers’ interviews and recollections<sup>25</sup>, the title is usually finalized from a number of possible drafts after having written the entire story, making for an even more important impact of the title. This is the essence of the work of fiction, the few words which must contain the soul of the piece and attract the reader’s attention, rather immediately. In cognitive terms, this is a case of

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<sup>24</sup> Translation: “For the reception of this body of work has been suitable for a wide variety of interpretations, all of which were able to function without the Jewish component.”

<sup>25</sup> See for example Ernest Hemingway, in the Paris Review: Issue 18, Spring 1958.

working against what Stockwell (2009: 7) calls ‘prototypicality’, that is it must be sufficiently different from all the other offerings in the bookshop to stand a chance of being picked up by the reader<sup>26</sup>.

On then to Kafka’s own reversal of prototypicality through his choice of the title, which is achieved instantly by asking the reader to create a new reality on hand of the information that is being insinuated in the title. The English translation of the original title perhaps loses a fraction of the magic spell which the German original almost seems to insinuate from the very beginning. A ‘metamorphosis’ may be a somewhat involuntary concept of change, but the German ‘*Verwandlung*’ certainly has something almost God-like about it in the receptive perception of this prototype reader<sup>27</sup>, suggesting a transformation which has been brought about by some higher power – God, magician, writer? But of course the impact upon the reader, which is the initial ‘reception’ stage of the analysis, remains equally powerful in the English translation utilized for this study. The one-word title in English centers the entirety of reader attention upon the central focus of the story ahead, from the very beginning. The reader is asked to focus entirely on a metamorphosis. And from the very start we, as the reader, take into account that some kind of change is going to take place in our established world view. We must not wait long to find out, on hand of the linguistic end product that is the text, what that change will be (as the following sub-section will demonstrate). The author has then succeeded, already, through the word choice of the title, in focusing the reader’s attention directly on

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<sup>26</sup> Thus, for example, my first published short story (Bartleby Snopes Literary Magazine, USA, July 2009) was entitled ‘Other side of the moon’, with the first word of the title already suggesting and implying difference, and essentially aiming for a heightened cognitive impact upon the reader.

<sup>27</sup> This prototype reader who has German parentage and understands the language almost as entirely as his ‘native’ English.

the subject matter at hand; that is the bodily transformation through which he will place his social critique in the reader’s mind.

#### 4.1.2 The Beginning

The beginning of the story is highly relevant in the ‘receptive’ phase of the ‘Wave Method’ analysis, since the change insinuated by Kafka’s title (‘Metamorphosis’) immediately materializes within the very first sentence. Thus, in that highly cognitive opening sentence Kafka wrote (2007: 87): “When Gregor Samsa awoke one morning from troubled dreams, he found himself changed into a monstrous cockroach in his bed.” Here the receptive reading impact is immediately heightened with regards to the metamorphosis or change already signaled by the title and discussed above. That unknown change has now taken on the specific form of the ‘monstrous cockroach’ into which the main character has found himself transformed after waking up from troubled dreams, and the reader must now deal with this new reality. In receptive cognitive terms this is achieved through the reader’s blend of ‘creative spaces’, as this study shall refer to the concept employed here to analyze the creation of a new fictional reality, employing a term adapted from the ‘mental spaces’ which Fauconnier and Turner (2003) discuss and which have been introduced in the Literary Review (section 3) above. The reference to creativity in this name showcases the belief of this study that cognitive creativity is indeed apparent on both sides of the writer-reader dynamic. As shall become evident, many of the creative spaces of writer and reader are also shared, or have similar inputs,

such as the own bodily experiences. Here, the creative spaces of the prototype reader’s own general worldly experiences negating the possibility of such a metamorphosis, and specific memories of waking up from troubled dreams in a seemingly altered state take on a great importance in the blend, as can be seen in table 4 below. The input of creative spaces is initiated by the reading of Kafka’s opening sentence in which a human being has just been transformed into an insect. This cognitive activation of the opening sentence in the reader’s mind can be seen in table 4 below, which also portrays the possible (deduced) creative spaces of the writer in the dynamic transfer of fiction.

Table 4: The transformation of Gregor Samsa

Note: Table showing dynamic transfer of fiction in Kafka’s ‘Metamorphosis’, employing deduced writer creative spaces and prototype reader creative spaces

<b><u>Actor</u></b>	<b><u>Creative Space 1</u></b>	<b><u>Creative Space 2</u></b>	<b><u>Creative Space 3</u></b>	<b><u>Generic Space</u></b>	<b><u>Emergent structure</u></b>
Reader (receptive)	Identity: Gregor Samsa as human being.	Identity: Gregor Samsa as insect. (Counterfactual) Triggers reader’s own general worldly experiences, which negate possibility of such a metamorphosis.	Identity: Reader’s own bodily input of specific memories of waking up from troubled dreams with a seemingly altered state of being.	Identity: Gregor Samsa as living creature.	New received fictional reality: Gregor Samsa has been transformed in opening sentence into insect. Augmented by reader’s knowledge of procedural schemas of reading.
Writer (creative)	Identity: Gregor Samsa as human being.	Identity: Gregor Samsa as insect. (Counterfactual) Example of heightened writing	Identity: Writer’s own bodily experiences of feeling suppressed and degraded in	Identity: Gregor Samsa as living creature.	New created fictional reality: Gregor Samsa has been transformed in opening

		creativity in that it provides variation from standard and dissolves ‘threshold of rationality’.	family surroundings.		sentence into insect. Forms the basis for the progression of the fiction writing process.
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When, as discussed earlier in the Literary Review, Fauconnier and Turner point to such possibilities as “implicit counterfactual spaces” (2003: 87), this is now what is being shown in Table 4 above, for there is the input of creative space 2 in which a counterfactual action is being described: the metamorphosis of a human being (creative space 1) into an insect. For the prototype reader, this is essentially a counterfactual literary blend, for there is no known human case where a man has effectively been transformed into a real cockroach. At least for this reader, with cultural knowledge which negates the existence of magic, there is no known such case. And so it is at first a negation (in creative space 2) of the fictional blend proposed by the writer which takes place in the reader’s mind. Then other factors come into play. For one, the creative space 3 in which a specific bodily memory of waking up in a seemingly altered, or otherworldly state from a troubled sleep fits perfectly with the writer’s fitting description of these happenings in the fictional story. Writer’s skillfulness is now a real feature in the success of the creative blend in the reader’s mind. The blend is taking on shape now in the generic space, because a shared experience is leading to the shared information that both Gregor Samsa as a human being and as an insect are essentially *alive*. Finally, in the blend which then ensues within split-seconds of the reading of the linguistic end product of the entirely unusual metamorphosis occurring in a piece of fictional writing, the reader also implicitly employs his knowledge of the procedural schemas (Hogan 2003: 47) of

reading. Here, the reader is aware of the possible suppression of reality in fiction writing which indeed forms a tradition of literary writing. The literary device of transformation of characters into animals has been used extensively to bring across meaning and social critique in “literary traditions in which metamorphosis has been a regular choice of motive: fables, mythical tales, fantasy writings and meaningful parables.” (Mueller: 2009: 43). Thus certain readers, including this prototype reader, are already aware of the historical tradition of such a change of a main character into an animal, although the timing of the metamorphosis right at the start is surely a wonderful variation on the part of the author to heighten interest in the story.

Other readers who may not bring this awareness to the reading, or who are only subconsciously aware of this literary tradition, may rely more heavily on the procedural schemas of reading a work of fiction; that is to expect a problem to arise at the beginning, for this to be heightened in the middle of the story, and finally to be solved towards the end or the conclusion. The acceptance of the metamorphosis of Gregor Samsa would be based in this case more strongly on the procedural schemas than on specific knowledge related to literary traditions. This would be an interesting point of departure for the further studies of a quantitative nature suggested in the Conclusion (section 6) of this study. But in this specific case, the prototype reader’s knowledge of this long-standing literary tradition and liking for fantastic fiction leads to the acceptance of the metamorphosis and successful activation of the blend of Samsa’s transformation. This acceptance of a counterfactual blend which runs throughout the entire story is part of the reason why ‘Metamorphosis’ has become a classic of 20<sup>th</sup> century literature and

continues to be read by a modern audience which may have no connection at all to Kafka’s own living conditions in early 20<sup>th</sup> Century Europe.

The key to this success lies in Kafka’s skillful productive level mechanisms to accompany this blend. In terms of linguistic choices, the transformation of Gregor Samsa can indeed be seen as a metaphor placed right at the beginning of the story, and then systematically extended towards the solving of two central questions in the reader’s mind: 1) will Gregor Samsa return to being a human once more? and 2) why has he been transformed into this beastly cockroach in the first place? At this stage, even before moving on to the author’s choice of metaphor and the choice of animal in particular, we should briefly consider wave 4 of the analysis method, which is the publisher’s editing stage. In this case there is evidence of the role of the publisher in the creative writing process. Many of Kafka’s works which were published posthumously indeed only appeared because his close friend and fellow writer Max Brod acted as any publisher would and ignored Kafka’s last wishes to have all his works destroyed: Brod had them published. But this applies to other works, including ‘The Castle’<sup>28</sup>. In the case of ‘Metamorphosis’, which was published in Kafka’s lifetime, there is an altogether different input at the publisher’s editing stage (wave 4). Certainly in the English edition of the text examined in this study (Kafka: 2007), the original German ‘ungeheueren

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<sup>28</sup> See for example Appendix 4: The picture taken on 28.12.10 during research in Cologne, Germany, shows Kafka’s short story ‘Metamorphosis’, which forms part of the corpus of the analysis of this thesis, in both German original handwriting (on front cover, left, as well as English translation on right). Additionally, the newspaper cutout from the daily Frankfurter Allgemeine Zeitung shows the announcement of publication dated 07.12.1926 of Kafka’s posthumously published novel ‘The Castle’.

Ungeziefer’ (Schwarz, 2001: 5) has been *specified* in the English translation, which reads: “a monstrous cockroach” (Kafka, 2007: 87).

The specification of the insect in question therefore actively changes the reader experience in the two different languages<sup>29</sup>. In the case of the German ‘*Ungeziefer*’, it may have been that it offered no directly relevant translation into the English, or at least none which the translator thought fittingly similar to the unspecific mention which Kafka wrote in the original German. Thus, there is a difference here in terms of word choice in the translation, and one which has a very real impact upon the linguistic end product (wave 5). We are confronted with a specific insect in the English text analyzed, allowing for the reader to activate associated (cognitive activation of creative spaces for: cockroach) feelings of disgust and aversion from the very start, while the German original by Kafka offers more scope for the reader’s imagination to create a detailed picture of the animal into which Gregor Samsa has so shockingly found himself transformed. What may seem at first glance a translator’s issue indeed falls under the publisher’s editing stage (wave 4) of the analysis method, for the publisher is ultimately the commissioner and finally responsible in terms of commissioning and approving the translation. That is not to say that the translation in question by Michael Hofmann is not adequate to the text written by Kafka. Quite on the contrary. What it does mean is that readers of the German version of the text have a different cognitive activation than readers of the English version in the receptive stage. And this is a difference brought about by the publisher’s choices at wave 4.

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<sup>29</sup> Which I am able to comment on as the prototype reader because of my native status in both English and German.

But what of the cognitive intentions of the writer in choosing to have such a shocking opening sentence, in which the reader’s entire worldly knowledge is reversed through a single, well placed sentence? The answer is to be found in Kafka’s delightfully chosen extended metaphor, for it is as such that we must eventually understand the transformation of a man into an insect. By choosing this hardly prestigious insect<sup>30</sup>, the writer helps the reader better understand the suppressed family reality of the character Gregor Samsa. Thus, as the story progresses (to be discussed in the following section) the reader is asked to understand Samsa’s reality, that of a travelling salesman’s feelings of insignificance within his middle class family which he works to keep alive, through the extended metaphor of a human being waking up as an insect. It may thus be deduced that Kafka believed this metaphor would better showcase to the reader his main character’s inner turmoil through an outwardly change of appearances. For Gregor Samsa essentially retains the same thinking capabilities, only seeing his body completely change, as we shall see in the following section. By placing this extended metaphor at the very beginning of the story<sup>31</sup>, Kafka chose to maximize the immediate impact of his linguistic choice. Thereby, he actively heightened the receptive effect of his choice of metaphor – and by extension the choice of animal. If he had chosen a dog for the transformation then the implications would have been entirely different: a dog is useful at home, serves to guard the house, give company to family members, and so forth. However, a beetle, or even the entirely disgusting cockroach chosen for the English translation examined here

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<sup>30</sup> The beetle is the insect which Kafka envisioned according to Beicken (2007: 7), but which he interestingly requested never be drawn in detail for the cover of the story so as not to interfere with the reader’s cognitive processes whilst reading the story.

<sup>31</sup> A much used technique in fiction writing is to activate the reader’s cognitive attention in the first sentence. Compare for example with my own short story “Men with Single Ears”, published in the summer of 2010 in the Potomac Journal, USA, which begins with the first line: *“It was as though Van Gogh, or whichever of those crazy artist types had shot through his ear – Floyd could not quite remember – had been at work incessantly and with much gusto with his gun.”*

(in order to circumvent these problems of specification this thesis shall refer to it simply as ‘insect’ throughout this study), serve no purpose other than to create disgust and revulsion amongst the family members. The choice of extended metaphor is thus clearly intended to subconsciously initiate in the reader an understanding of the relationship between Gregor Samsa and his family as he loses his financial purpose in their lives and becomes a mere disgusting insect in their eyes.

As has become evident in table 4 above, the beginning of the story is an example of heightened creativity on the writer’s part, in that the second creative space contains information which is counterfactual to the writer’s general worldly knowledge that the transformation of a man to an insect is quite impossible. This ‘threshold of rationality’, as I refer to it here, is then dissolved by Kafka’s creative input, which is the new idea of transforming a man into a cockroach in order to lend additional emphasis to his social critique. It may be deduced from the reader’s receptive reaction and the writer’s worldly surroundings of a troubled familiar relationship<sup>32</sup> that Kafka’s own bodily experiences of feeling suppressed and degraded in his family surroundings also contributed to this creative blend. This then flows into the descriptive element of the first sentence, giving the sentence *authenticity* despite the seemingly fantastical happening which has just occurred. In terms of Hogan’s (2003) mental activation pattern, already examined in the Literature Review (section 3) of this study, the choice of the animal elected by Kafka in the creation process is an interesting one to consider. In a hypothetical writer mental activation pattern, the cognitive impulses of creativity might be represented as follows in table 5.

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<sup>32</sup> To be discussed shortly.

**Table 5: Hypothetical mental activation pattern of writer: creative activation****(Adapted from Hogan: 2003)**

<i>Input node</i>	<i>Output node</i>	<i>Activation strength</i>
Gregor Samsa + Family Situation + Financial Situation	Dog	+0.9
Gregor Samsa + Family Situation + Financial Situation	Cat	+ 0.8
Gregor Samsa + Family Situation + Financial Situation	Beetle	+ 0.75

Thus in this hypothetical creative activation pattern for Kafka, the outright 1.0 threshold for activation is not reached because there are various other options which are considered. The writer’s worldly input may initially give more activation strength to the animals of ‘dog’ and ‘cat’, which are generally associated with living in conjunction with a family. An insect does not fit into this normal associative schema. Thus the hypothetical lower activation strength indicated above in table 5. But the choice of an insect in the story may then be linked to Kafka’s need for an animal of less prestige and usefulness than a dog or a cat. This is a notion which cannot be confirmed with real data, but table 5 hints at the extent to which creativity relies on variations from the standard or prototypical solution. Thus it displays Kafka’s creativity in opting for the less common metaphor which essentially provides the optimal conveyer of the writer’s cognitive intentions.

The cognitive messages of family depreciation and societal pressures of capitalism which Kafka is trying to convey to the reader is thus in entire harmony with the choice of extended metaphor at the writer’s writing stage (wave 2). An insect is useless to the family, just as Gregor Samsa becomes a useless, horribly grotesque nuisance to his family from the moment when he does not earn the family’s wages any longer. Having thus initiated the receptive mental activation of the story, it thereafter the wish of the reader to find out what happens to the man turned insect. This is the mark of a writer’s successful fiction: when the cognitive interest of the reader remains heightened after the initial reading of the title and the first few lines. In the context of successful fiction the progression (to be discussed here shortly in the next section) of the story usually brings an intensification of the main character’s dilemma, which is also the case with Gregor Samsa.

The reader is quickly informed that (Kafka, 2007: 87): “It was no dream.” A possible standard solution to the creative variation chosen by Kafka (that Samsa) is indeed only trapped in a nightmarish dream, as so many of us potential readers have been) is thus quickly extinguished. The counter-factual blend continues for the reader. And as the story progresses, it is indeed intensified. In highly descriptive detail, the reader now receives information relating to the actual feelings of Gregor Samsa within the confines of this new, monstrous body of his. Here the analysis of the Kafka’s use of image schemas is of particular interest. As we shall see in the here following section on the progression of the story, these entirely basic building blocks of our every cognitive system again serve to enhance reader identification with the dilemma of Gregor Samsa, effectively placing each reader into the confines of the terribly inhumane situation into which he has found

himself transformed physically, and by extension in the familiar and professional world he lives in.

#### 4.1.3. The Progression: Examining the impact and use of the ‘container’ image schema

Specifically of keen interest in the progression of the story is what Turner (1996: 16) identifies as the ‘container’ image schema, which is part of shared human experiences of our bodies and includes an interior, exterior, and a boundary that separates them. Crucially, there is no cross-cultural difference in this regard, because each human being can relate to this bodily experience, making perhaps thereby for part of the universal appeal of Kafka’s story. This had already been touched upon briefly in the introduction of this doctoral study when it was mentioned that: “Embodiment or ‘grounding’ hypothesis – (which) contends that language partly makes sense because it is tied to our bodily being in the world” (In Brone and Vandaele, Eds, 2009: 12). This focus on bodily feelings effectively negates any differences which might be brought about by cross-cultural differences. Whilst the aforementioned translation (at wave 4) means a different reading experience for German or English readers, for example, the writer’s concerted use of the ‘container’ image schema means there is conformity across cultures in terms of allowing the reader to actually feel the troubling bodily experiences of Gregor Samsa.

The ‘container’ is used in multiple instances. Firstly the body of the cockroach which is described in very exquisite detail from the point of view of Gregor Samsa from the

second sentence onwards (Kafka, 2007: 87): “His numerous legs, pathetically frail by contrast to the rest of him, waved feebly before his eyes.” Here, the change becomes starkly felt for the reader, who is seeing the fictional world through the eyes of the transformed main character. There are thus various containers being activated here in the reader’s mind; the container of Gregor’s body, that of his head, through which we have the vision of the world which he now has, disgusting feeble legs included, and finally the container of the room within which he finds himself trapped. If that were all not enough, there is also the final container of the flat to contend with. It is this family flat in which his entire family lives and will constrict his activities as a cockroach to the point of suffocating Gregor’s will to live. All are obnoxious containers that Samsa wants to escape from, mostly without success. While he does escape from his room as the story progresses, he is quickly forced back inside by the disgusted reactions of his family. And escaping from the flat itself, which to this prototype reader seemed like the most interesting test available for the transformed insect (imagining the hilarity and drama of a scene where Gregor Samsa turns up at his hated office and confronts his detested boss), is in itself a utopia. The reader’s entire receptive experience is centered variously in Gregor Samsa’s mind, head, body or room. At rare intervals the container that is the flat at large is accessed. But the outside world is an inaccessible area in the receptive experience. Thus what becomes evident in the receptive progression of the story is the impossibility of escape from the container that is the body. In doing so, the writer has not only focused the reader’s attention on Gregor’s internal dilemma, but also multiplied the shocking effect of his metamorphosis at the beginning of the story.

Through this hideous body's only possible outlet – the eyes – the reader is shown around the room for the first time and later around the flat. Parallel to this development, the window which is mentioned early in the story and reappears again at intermittent intervals later, and offers some of the only glimpses of the misery that supposedly awaits outside the container that is the Samsa family flat. In the first such instance (Kafka, 2007: 87) the “drab weather outside – raindrops could be heard plinking against the tin window- ledges – made him quite melancholy.” The main character's mood is succinctly captured by this view outside of his window upon first becoming transformed into the beastly insect, a tendency reinforced a few pages later in the reader's cognitive system when Kafka writes (2007: 92) that “he leveled his gaze as sharply as possible at the window, but unfortunately there was little solace or encouragement to be drawn from the sight of the morning fog”. The prototype reader is here made acutely aware of the increasing desperation which Gregor Samsa feels as he is stuck inside the container of his now hideous body, looking out of the window in the hope of encouragement or solace from the outside world. This will never come. Samsa is left in an entirely confused state, a notion emphasized by the fogginess of the outside world. But the reader is still hopeful that such an outside force may still transform the container of Samsa's insect body back into the human form we are all familiar with, as Mueller (2009: 46) points out: “The reader, who observes the changed man with interest, immediately creates hypotheses, which he/she takes from their everyday knowledge, and which they can then verify or falsify as the story progresses”.

The container image schema is thus omnipresent because it is the central focus of the metamorphosis, which in turn becomes both the narrator's and the reader's chief

preoccupation. Through Samsa’s metamorphosis into an insect, the reader is in due course shown the inhumane living conditions which Gregor Samsa encounters in his family and professional worlds. But without any real hope of ever escaping from these interlocking worlds which are constricting his own dreams and creativity, he is entirely focused at all times on the ‘container’ that is his body. In receptive terms, it becomes evident that the ‘container’ image schema is repeatedly taken up to bring across this lack of hope for the cornered insect as his family becomes increasingly hostile (Kafka, 2007: 100): “Now Gregor didn’t even set foot in the room, but leaned against the inside of the fixed half of the door, so that only half his body could be seen, and the head with which he was peering across at the others cocked on its side a little.” Direct linguistic end product (wave 5) mentions of the containers that are the room, as well as the body and the head of the cockroach showcase once again the powerful receptive impact of suppression and helplessness on Samsa’s part; there seems to be no escape route possible, and he is afraid even to set a foot outside of his own room. He maintains half of his terrible body hidden in order not to cause further revulsion amongst his family members.

In terms of productive level choices, the aforementioned extract very much displays Kafka’s intentions to centre the reader’s focus on the inner feelings of the insect Gregor Samsa. The extended metaphor of the insect continues, of course, but it is in terms of word choice at the writer’s writing stage (wave 2) that Kafka so effectively and successfully creates the mood and resonance of this story. By choosing three universal ‘containers’ – room, body and head, Kafka creates an almost claustrophobic centricity on the inner feelings of his main character. In terms of Kafka’s cognitive intentions in writing with this emphasis on the ‘container’ image schema, this allows the interpretation

that the writer intended to highlight the family-related repercussions of the monetary obligations brought about by an exploitative, capitalistic system, where one family member often bore the burden of working to support the entire family. This notion is confirmed once more by Kafka’s (wave 2 and 3) word choice in the immediate aftermath of the family’s discovery of his altered condition, with the chief clerk also present and seeing that Samsa is no longer in a position to come to work in such a state.

In the receptive intake, this is undoubtedly a moment of temporary triumph for the main character with whom the reader now feels a bodily identification. Gregor has emerged from the prison-like ‘container’ of his room and still harbors the illusion that his family will morally support him in his quest to return to his former human condition. Going to his dreaded work as a travelling salesman – apparently selling cloths of different types – is fast becoming a utopia, as the chief clerk can now see. For the prototype reader, this is a moment of triumph in the inner battle which the insect Gregor is facing.

This sense of hopefulness at an eventual resolution of the problem is reflected here in Kafka’s choice of words (wave 2 and 3) as Samsa looks out of the (container) flat once more through the window and hope mingles with the usual dreariness of family and workplace (Kafka, 2007: 100): “It was much brighter now; a little section of the endless grey-black frontage of the building opposite – it was a hospital – could clearly be seen, with its rhythmically recurring windows; it was still raining, but now only in single large drops, individually fashioned and flung to the ground.” What delightful contrasts Kafka brings page-wards here from his creative mental impulses; the brighter view has now cleared away the earlier mist of his main character’s hopelessness; the endless monotony

of the building opposite to the flat, which is symbolic of the daily routine of a work he does not enjoy and the “rhythmically recurring windows”<sup>33</sup>.

So the reader is confronted with windows again, those eyes to the outside world which has now become so elusive to Gregor in his insect state. And consider at this stage Kafka’s word choice of describing the continuing rain, symbolic of the continuing difficulty of the situation – as “single large drops, individually fashioned and flung to the ground.” The writer’s timing in producing this statement is highly significant in the writer-reader dynamic. Gregor Samsa’s individuality is immediately reinforced through the single raindrops the moment after it becomes clear that he cannot go to work in the form of an insect, for he would indeed repel each and every customer. But in this individual’s newfound hope there is equally despair, and the reader is subjected to a cognitive hint of the fatal ending. The single rain drops are flung to the ground, rather than simply falling, or dropping, which would indeed have been the more standard word choices in cognitive terms for the writer. In applying a variation from the prototype here, the writer actively challenges the reader to imagine a possible ending to the story. A certain forcefulness is insinuated here by the author, which can be seen to draw from Kafka’s personal experiences (at wave 1), which included coming to terms with the difficulty of following individual dreams in a system which dictated a steady need for income for the family that writing would not bring about.

On the prototype reader of this study, this inner struggle of Gregor Samsa in ‘Metamorphosis’, emphasized by the ‘container’ image schema, indeed directly had the receptive impact which can be seen in table 5 below. Into the reader’s interpretation of

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<sup>33</sup> The poetically flowing alliterated English version here again brought about by the translator’s input at wave 4.

the story thus flows the newly acquired knowledge<sup>34</sup> of Kafka’s own struggles to follow his passion of writing whilst at the same time having to earn a living for his family. This interpretation is supported factually (at the writer’s worldly input, wave 1), then, by the writer’s own admission that he indeed (Beicken, 2007: 8):

“hated his job, because it hinders him at his writing. Complaints about his office were frequently found. In his letters to his fiancée Felice he wrote: ‘the office is a horror...’ ‘Entirely incapable to deal with the office.’ Consequently Gregor (Samsa) portrays the professional world as an entirely overwhelming human affair...”

This is an important observation from a receptive analytical point of view in that my own experiences and memories as a young writer needing to earn a living with other professions such as teaching or journalism undoubtedly flow into my understanding of Kafka’s meaning. Similarly, a reader with a Jewish background, such as the one cited in the early stages of this Kafka analysis, might more readily interpret the Jewish aspects of the story, while a reader with family problems might place more emphasis on the lack of empathy displayed towards the transformed Gregor Samsa by his family as he struggles to become human again. Clearly, then, reader identity and past worldly experiences are crucial in the writer-reader dynamic, as can be seen from table 5 below.

Table 5: Use and effect of ‘container’ image schema in Kafka’s ‘Metamorphosis’

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<sup>34</sup> Through research relating to Kafka’s lifetime conducted in the University of Cologne, Germany for three months as part of the ‘European doctorate’ program.

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Reader (receptive)	‘Container’ Image schema.	Focus attention on inner turmoil of Gregor, specifically his problems in professional ambit.	-	-	Prototype reader’s own worldly struggle to make a living from fiction writing, mirrored in reading on Kafka.
Writer (creative)	‘Container’ Image schema.	Possible feedback from publisher, critics and readers.	(Kafka, 2007: 87): “His numerous legs, pathetically frail by contrast to the rest of him, waved feebly before his eyes.”	To centre the reader’s attention on the inner struggle facing Gregor Samsa, and thereby showcase his social critique of society in which he lived.	Kafka’s own struggle (at wave 1) to make a living for his family, with a job which he detested and which he felt stopped him from his writing vocation.

Thus it may be deduced that Kafka’s cognitive intentions in the writing process could have been to criticize the societal and professional inhumanity of his time and age – something which he found the perfectly fitting extended metaphor for in the insect that became Samsa. Added to this there was also undoubtedly a strong impetus in this story from his own frustrations as a writer having to make a living through other professions if he was to realize his ambition of liberating himself of the influence of his own family and authoritarian father and to begin his own married life with the fiancée he wrote letters to in such revealing detail.

The extended insect metaphor then merges in the progression of the story to provide a further measure of hope for the reader that a resolution of Gregor Samsa’s dilemma could

be in sight. Thus when the chief clerk runs out of the flat after seeing Gregor’s hideous body, and Gregor attempts to chase after him down to the street to stop him from making his job redundant, that altered body becomes active for the first time and takes our main character to the swell of the flat’s door. Thus Gregor comes within reach of a possible escape from the claustrophobic family surroundings which seem to be hindering him from finding a solution to his altered condition (Kafka, 2007: 102):

“Gregor dropped with a short cry on to his many little legs. No sooner had this happened, than for the first time that morning he felt a sense of physical well-being; the little legs had solid ground under them; they obeyed perfectly, as he noted to his satisfaction, even seeking to carry him where he wanted to go; and he was on the point of believing a final improvement in his condition was imminent. But at that very moment, while he was still swaying from his initial impetus, not far from his mother and just in front of her on the ground, she, who had seemed so utterly immersed in herself, suddenly leaped into the air, arms wide, fingers spread, and screamed: ‘Help, oh please God, help me!’”

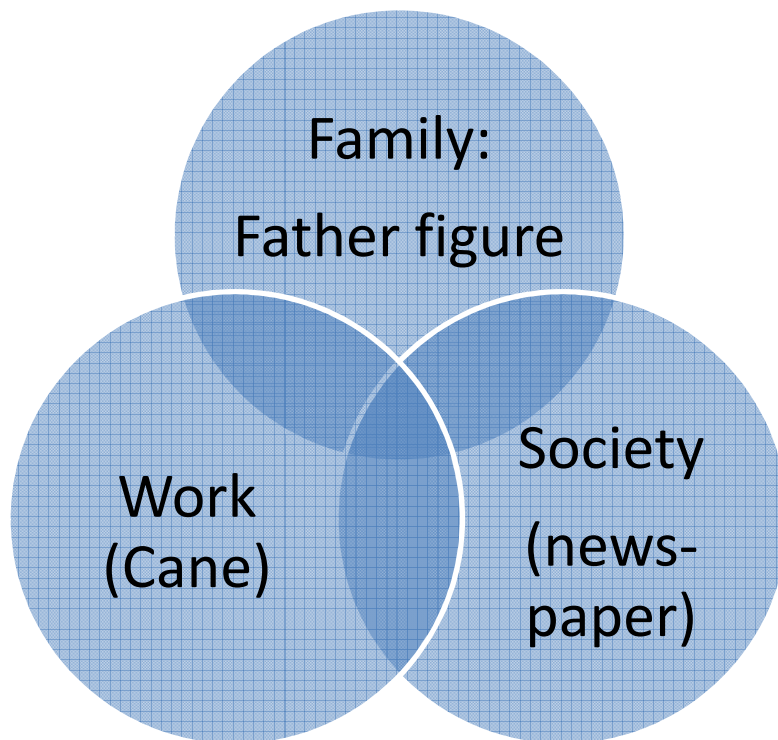
The figure of the mother, to whom Gregor shortly thereafter ‘softly’ looks up, thus hinders the insect from chasing after the chief clerk down the stairs. In receptive terms, the reader finds out that the ‘container’ of the metaphoric insect-body is now working well, and is even giving Gregor a sense of well-being and satisfaction for the first time that morning. The reader thus links a movement towards the outside world with a positive

emotion on Gregor’s part. But at this stage the mother stops Gregor’s escape from the container that is the flat. She does this by appealing to Gregor’s emotional bond in the mother-son relationship. It is a mental appeal. The appeal is directed at the container that is Gregor’s head. Thus we have a prototype reader inundated with limitations within these containers discussed above, creating an accurate reading resonance of the way in which Gregor is trapped within these inter-linking family-professional ambits that stops him from unfolding his full potential and breaking out to face the world on his own terms. Despite this emotional restriction of Gregor’s freedom of movement and actions by his mother, the prototype reader is again given an inkling of hope that the family will now finally actively attempt to help Gregor. This sense of hope is activated by the reader’s own input of motherly love, and comes just as the mother is shouting for divine help. In that shout, though, also lies the essential negation of this hope. The receptive skepticism sets in the split-second thereafter. How will a mother help her son, when all she is asking for is help for herself? The writer’s word choice is effective here in showcasing the selfishness of the Samsa family, all the more so when the dictatorial father figure who many literary critics have linked to Kafka’s own life takes the chief clerk’s cane and a newspaper (Kafka, 2007: 104) as he “attempted to drive Gregor back into his room.”

The prototype reader registers this negation of Gregor’s drive for freedom all the more acutely because of the aforementioned focus on the container that is the insect body. This means that the reader is also being hassled back into the original, constrictive container with Gregor: the room in which he first woke up as an insect. Again, moving swiftly from the receptive analysis to that of the production level choices of the writer, we are

confronted with the highly symbolic imagery of Gregor’s father utilizing both a newspaper and the chief clerk’s cane to force the unwanted insect-son back into the hidden container of his bedroom. Power in the professional ambit merges here with power in the familiar ambit. This power is concentrated entirely in the repressive father figure, who later also physically attacks insect Gregor with a hurled apple which becomes encrusted in Gregor’s back. For now, though, the reader is made to consider the excellent imagery of concentrated power brought about by Kafka’s simple word choice at the productive level (waves 2 and 3) of his story, which is visualized in Figure 2 below.

Figure 2: Kafka’s ‘power’ imagery concentrated in authoritarian father figure



Each of these inter-linking spheres of power, all of which are oppressing the man turned insect Gregor, are effectively merged into a single figure of authority by the writer. The linguistic end product (wave 5) thus showcases the writer’s cognitive intentions: Kafka’s intention to show the constrictive effects of overlapping pressures in family, professional and societal spheres on an individual, which is influenced (at wave 1) by the writer’s own worldly experiences in dealing with a highly patriarchal father figure and parents who, as Beicken highlights in another of Kafka’s letters (2007: 57), “I always felt (that my parents) were constantly after me...” It is this sense of unhealthy pursuit which is symbolized by Samsa senior’s threatening usage of both the newspaper and the cane to force Gregor back into his room. The attempt to escape from his nightmarish situation has failed. His last hope – and by extension the reader’s last escape option from the nightmarish finale that threatens – comes in the form of the sister whom Gregor seems to have such a special relationship to.

As shall become evident in the conclusion section of this analysis which here follows, it is a confounded hope, a final flurry of the reader’s cognitive activation in searching for a solution to the drama which is purposefully and masterfully activated by a young Kafka at the height of his creative powers.

#### 4.1.4. Conclusion: negating the reader’s hopes for a re-transformation

From progression to conclusion of the main character’s beastly dilemma, Kafka maintains the (albeit threadbare) hope in the reader that Gregor Samsa may at some stage

return to his normal human status. The re-transformation is the innate desire of a prototype reader who has taken an entirely bodily identification with Gregor through the writer’s emphasis on the ‘container’ image schema. But as the story nears its conclusion, as Gregor begins to neglect the food that is put out for him and feels entirely alone in a domestic and professional world without an ounce of empathy, it seems, the reader begins to wonder something which entirely justifies Kafka’s choice of the insect metaphor: will it even be advisable to return to the status of a normal human being in such ghastly, inhumane surroundings?

By virtually placing the reader inside the container of Gregor’s hideous insect body, the reader is constantly left to wonder what final bodily improvement might put an end to this story of human (but ironically essentially inhumane) *tristesse*, and Kafka skillfully positions Gregor’s sister Grete as the key persona in this regard. Somewhat freed from the repressive financial and professional triangular relationship which binds Gregor to his mother and father, and glossed with the illusions of Gregor’s musical hopes for her which are indeed metaphorically representative of Kafka’s own writing ambitions, the sister takes on the role of the savior. She has, indeed, taken charge of supplying Gregor with his food (Kafka, 2007: 108) throughout the progression of the story ‘Metamorphosis’. Even if this task has not been completed with much affection, the sister is essentially the person charged with keeping Gregor alive. All the more shocking is the effect on the reader, then, when after her musical performance for the three visiting gentlemen who have become boarders in the flat (Kafka, 2007: 136), Kafka’s sister is the family member who first suggests that (Kafka, 2007: 138): “we have to try and get rid of it. We did as much as humanly possible to try and look after it and tolerate it.” The triple salvo of the

impersonal ‘it’ usage by Kafka removes Gregor completely from any semblance of humanity, and with it the last lingering reader hopes for a positive finale to Gregor’s ordeal. That it is the sister to whom Gregor is so strongly attached, and who has just recited a musical performance on her violin to which he feels so artistically bound, who gives the reader this final certainty is especially shocking. In receptive terms, thus, the ending promises as much cognitive activation through a variation from the standard – by negating the potential reversal of Gregor’s situation – as the beginning did by abruptly producing it in the very first sentence. In the aftermath of his sister’s damning words, Gregor turns around and returns to his room – the final return to the ‘container’ which is such a recurring image schema throughout the story.

From being a place of life and a place *to live*, the room now very shortly takes on the form of another container – that of a coffin. Claustrophobic imagery and word choices (wave 2 and 3) on the part of Kafka insinuate that Gregor’s death – both as an insect and as a human being, is near (Kafka, 2007: 141): “What now? Wondered Gregor, and looked around in the dark. He soon made the discovery that he could no longer move...He remained in this condition of empty and peaceful reflection until the church clock struck three a.m. The last thing he saw was the sky gradually lightening outside his window.”

A number of receptive and productive level linguistic observations are crucial in the description of Gregor’s death. Firstly, the funereal word choices imprint on the reader’s cognitive impulses the impression that Gregor’s death, and by extension the story’s conclusion, are near. Secondly, the time of his death is at precisely three a.m, which is coincidentally (or not) also the number of family members who now remain alive. Finally, Kafka shows first signs of a lightening of the sky at the precise moment when

Gregor takes in his last sight. It is a final look out of the futile window to the unattainable outside world. The improved weather is also something which will be accentuated by the writer at the very end of the story. At this stage a rather melodramatic, almost self-pitying imagery is chosen here for Gregor’s demise, with the insect’s death seemingly bringing light and improvement to the three remaining members of the family. But why did Kafka choose to create this receptive impression in the reader at such a decisive stage of the story?

Kafka likely chose a production level usage (waves 2 and 3) of all three features discussed above to reinforce the cognitive writer-reader dynamic with the reader at the most important stage of the entire story – where Gregor’s hopes of becoming a human being again are finally and tragically dashed. The word choice bearing over into a funereal atmosphere just ahead of Gregor’s final demise is a skillfully utilized linguistic mechanism to build tension, but also to imprint in the reader’s mind an absolutely new question as the first one (will Gregor become human again?) is finally erased: that being, why has Gregor never actively fought against his imminent death? By focusing on the dark prelude to the final death, then mentioning the three o’clock death hour, and finally showing a lightening of the sky when Gregor dies, signifying the dawn of a new, likely better, day, Kafka cleverly hits home his cognitive message as if it were a rusty nail into Gregor’s (invisible, and yet omnipresent) container coffin. Kafka’s linguistic usage (wave 2 and 3) here implies the primary metaphor which derives from shared human experience; that darkness is negative and light is positive. According to Kafka’s linguistic choices, the family simply thinks it is better off without the insect Gregor. The cognitive message offered by the writer here is a stark version of reality, indeed. One far removed

from any hope of a reversal, however small or subconscious that hope may be, which Kafka has been building up cleverly in the reader. As Beicken (2007: 76) finds: “His (Kafka’s) ‘Metamorphosis’ destroys every fairytale schema of the magical reverse metamorphosis and negates related reader hopes, even if those were only activated subconsciously.” Having thus come to the heart of Kafka’s cognitive intentions in implementing the linguistic usage indicated above, it is possible in this case to link this intention directly to the writer’s (wave 1) worldly input and own familiar surroundings. Mueller (2009: 58) writes that “Kafka had shortly before (beginning the story), at the start of October, made the experience that his favorite sister Ottla, who normally always took his side against their father, moved to the side of the family.” This notion of betrayal by a sister is then clearly reflected in the writer’s created reality within the fictional blend of the man turned insect, and now finally dead.

With Gregor then well and truly deceased, the final receptive question that remains open to the reader is: why has this terribly tragic taken place? Once again the receptive answer is to be found in the linguistic end product (wave 5), as Kafka brings his story to a stingingly critical conclusion with the aforementioned intensification of the implied primary metaphor (dark is negative, light is positive). In this case, when the three (once again the emphasis on this number is almost overwhelming, despite its simplicity) remaining family members leave the flat for their first walk together in months, (Kafka, 2007: 145) “the carriage in which they sat was flooded with warm sunshine.” What might be seen as a simple case of pathetic fallacy in conventional literature analysis is in this case an almost blindingly clear spotlight shone by Kafka into the receptive activation of the reader. Having done nothing to help their struggling son and brother Gregor, the

family is now pictured (Kafka, 2007: 145) “sitting back comfortably in their seats.” The spotlight has become shrill and unbearable for the reader.

The receptive focus on a simple physical, outwardly description is most certainly centered on the hearts (or lack of heart) of each of the remaining three family members; how indeed, can such inhumanity exist within such a seemingly normal family? Kafka thus concertedly employed the linguistic mechanisms at his disposal to create an overall impression within the reader’s mind, one which is not at all positively inclined towards the parents and the sister of Gregor. Whilst Gregor’s passivity upon becoming an insect may be explained through his lack of means as an insect, as well as his unsupportive family surroundings, no such excuses are allowed by Kafka for the remaining family members. They have now symbolically also broken out of the confines of the flat-container, but without Gregor in their ranks.

What might be thought of as a terrible relief for the claustrophobia-induced reader becomes a further restriction in that our focus is entirely centered then upon the mind ‘containers’ of the three remaining family members. There the reader looks in search of the essentially un-answerable question: why did none of the three show any humanity in Gregor’s ordeal? From the Gregor-centricity of the entire story ‘Metamorphosis’ up to this point, brought about by a concentration on the container that was Gregor’s horribly effective (in cognitive receptive terms) new body, Kafka now necessarily shifts the focus to the remainder of the Samsa family, thereby effectuating his cognitive intentions of showing the self-constricting circles which domestic and professional pressures have drawn around his tragically deceased hero. The productive level choices of the author

indicate, quite clearly, that a new, brighter future is now set to begin for the Samsa family.

Thus, Kafka’s choice of a flower metaphor (at waves 2 and 3) for Grete in the finale of the story has a powerful message to convey, namely that a new spring now seems to be awaiting for the three survivors of the terrible fictional transformation: (Kafka, 2007: 146) “she had bloomed into an attractive and well-built girl.” The flower of spring, the flower of youth, the flower of peace, but also the flower of irony is planted in the reader’s mind by Kafka’s simple cognitive choice of this very basic metaphor, which shows no great variation from the standard (as can be seen in table 6 which follows). But there is no need for complication here. Kafka very simply illustrates with this flowery metaphor, seen indeed through the eyes of the parents, how positive the family future has supposedly become after Kafka’s death. The transformation from the beginning of the story, when the entire family was dependant on Gregor’s income to survive could not be more marked.

Gregor’s sister then undergoes a parallel, if slightly less visual transformation in the eyes of the Samsa parents. From being frequently annoyed with her for being “a somewhat useless girl” (Kafka, 2007: 117) to becoming the new hope of the family at the end of the story (Kafka, 2007: 146):

“Falling silent and communicating almost unconsciously through glances, they thought it was about time to find a suitable husband for her. And it felt like a confirmation of their new dreams and their fond intentions

when, as they reached their destination, their daughter was the first to get up, and stretched her nubile young body.”

What is described in an entirely neutral resonance – the ‘new dreams’ and ‘fond intentions’ of the parents for the ‘blooming’ daughter, is receptively taken up by the prototype reader as a sinister, self-interested plot to marry their daughter off to receive financial benefits of their own. Indeed, the development of the story up to then has virtually confirmed that these are almost surely the intentions of the parents. The reader’s cognitive apparatus thus subconsciously merges the experience of the recently deceased Gregor and his treatment at the hands of his parents with the second case of their daughter. Kafka’s description of Grete’s ‘nubile’, flower-like body at the very end of the story contrasts wonderfully with the hideous monster, no more, which awoke at the beginning to our shocked disgust. Receptively, the prototype reader is at once relieved and appalled; the latter by the parent’s terribly egoistic attitude in now placing their focus on Grete as the source of family income, the former by the outwardly appearance of beauty and serenity which Gregor’s sister transmits.

Table 6: Use and effect of ‘flower’ metaphor in conclusion of Kafka’s ‘Metamorphosis’

<b><u>Actor</u></b>	<b><u>Linguistic device</u></b>	<b><u>Receptive effect</u></b>	<b><u>Productive choice</u></b>	<b><u>Cognitive intention</u></b>	<b><u>Worldly input</u></b>
Reader (receptive)	‘Flower’ metaphor.	Flower activation produces receptive contrast with ugly insect at start of story.	-	-	Own experiences of the beauty of flowers blooming.
Writer (creative)	‘Flower’ metaphor.	Possible feedback from	(Kafka, 2007: 146) “she had	To provide contrast at end	Kafka’s own experience

		publisher, critics and readers.	bloomed into an attractive and well-built girl.”	of story; beauty of flower metaphor against the hideous insect metaphor chosen at the start of the story.	shortly before writing of story in which his sister sided with parents rather than him.
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Kafka, in bringing the story to an entirely fitting ending with the last word ‘body’, again concentrating on the ‘container’ image schema which has had such a central linguistic focus throughout, has created a story in which one family member is effortlessly exchanged for another when he ceases to be useful. This reverts back to Kafka’s worldly input and cognitive intentions of criticizing a society based on superficiality and outer looks, and one not overtly concerned with inner love and familiar caring. As Schwarz succinctly writes in his afterword to Kafka’s magnificent story (Kafka, 2009: 78):

“Above all the story showcases the tyranny of an economic system, which is based on the slavery of the soul, and which only recognizes one law, the law of profit.” A story then, which is as relevant today as it ever was in Kafka’s lifetime, and which unfolds an almost magical writer-reader dynamic with the long deceased author from Prague.

A final consideration must then go to the unresolved question which Kafka purposefully left open to the reader’s imagination: why transform a man into an insect? Why indeed did this transformation take place? The reader is given no explicit hints, but must use their own cognitive ability and deduce the answer from the implicit meaning of a story that has become part of literary world heritage for its creative usage of an extended metaphor; that of the man turned finally and fatally insect. This piecing together of meaning both feeds from a long literary tradition of transformations, and also shows

the necessary creative variation that captures the reader’s cognitive attention with its failure to bring about the final reversal of the hero’s metamorphosis. When Hogan (2003: 80) finds that: “the two transforming conditions that differentiate childhood art from adult art: technical mastery and audience awareness”, we can after this writer-reader dynamic analysis safely suggest that Kafka performed both with exquisite skill and created in his relationship with the reader a final, fitting burst of understanding: Gregor was transformed because his professional and domestic worlds transformed him, and then never gave him the chance to return to humanity. As Fechter (1952: 488) explains: “*Die Verwandlung* ist das erste Beispiel des deutschen Surrealismus, Abloesung des Stofflichen von den Bindungen der sogenannten realen Welt, Verneinung alles positivistischen Glaubens an eine alles verpflichtende rationale Ordnung der Natur...”<sup>35</sup>

The reader’s cognitive link to the real world mentioned by Fechter is thus severed ostensibly by Kafka at the very start, but it is never essentially broken. Gregor Samsa’s metamorphosis is essentially a worldly one, and Kafka, the writer struggling to find enough time to write his magical stories in between professional commitments, could not have been better placed to write it.

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<sup>35</sup> “The ‘Metamorphosis’ is the first example of German surrealism; removal of the material world from the connections of the so-called real world; negation of all positive belief in an all encompassing rational order of nature.”

## **4.2. Jorge Luis Borges**

The Argentine writer Jorge Luis Borges (1899 – 1986) shall be the next writer analyzed in this context, with the inclusion of two short stories which are of particular relevance to the writer-reader dynamic. First will be the analysis of the short story ‘The Book of Sand’, which the here following ‘Wave Method’ analysis will find to be an extended metaphor symbolic of the never-ending reading possibilities facing a reader, and this is to be followed by the analysis of the short story ‘Pierre Menard, Author of the Quixote’, which the here following analysis finds to be a representation of the challenges and delights of a life spent as a writer.

Much insightful analysis (including Williamson: 2007) has indeed been written on the author Borges and the extraordinarily gifted mind he possessed, a fact confirmed by a brilliant array of fictional writings and poetry, as well as the entirely creative description of referring to the Falklands War as a matter of ‘two bald men arguing over a comb.’<sup>36</sup> Borges brought these unusual ideas of his to the published world in the form of a wide array of parables, fables and short stories, but crucially never in the form of a novel. Both of the short stories chosen for this analysis are equally creative and succinct in their composition, challenging established norms of fiction writing and leaving the reader with a heightened cognitive activation in the brief duration of each story, making indeed for the motivation of the double analysis in this case. Awarded the International Publisher’s Prize in 1961, Borges had a ‘seminal influence on 20<sup>th</sup> Century Latin American literature’

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<sup>36</sup> As related in the political article from Al Jazeera International written by Imran Garda:

<http://blogs.aljazeera.net/americas/2011/01/08/art-political-analogy>

(Williamson, 2004: 7), and his writing was to be an acknowledged part of the worldly input of a whole array of splendid writers, including the Nobel Prize winning author Gabriel García Márquez, whose work ‘*One Hundred Years of Solitude*’ is to be analyzed later in this study. Equally, as shall become evident here shortly, the work of the first writer analyzed in this study, Franz Kafka, was also part of the Borges worldly input, and had a real influence in shaping his writing craft. Just as is the case with the earlier analysis of Kafka and the later analysis of García Márquez, a translation has been chosen here for the works of Borges to provide a measure of uniformity for a study conducted in the English language. Thus, the translation of Andrew Hurley will effectively have an impact upon the here following analysis, in that each time there is a reference to the ‘resonance’ and stylistic and linguistic choices of Borges, these are indeed also referring to the translation work completed (at wave 4) by the translator.

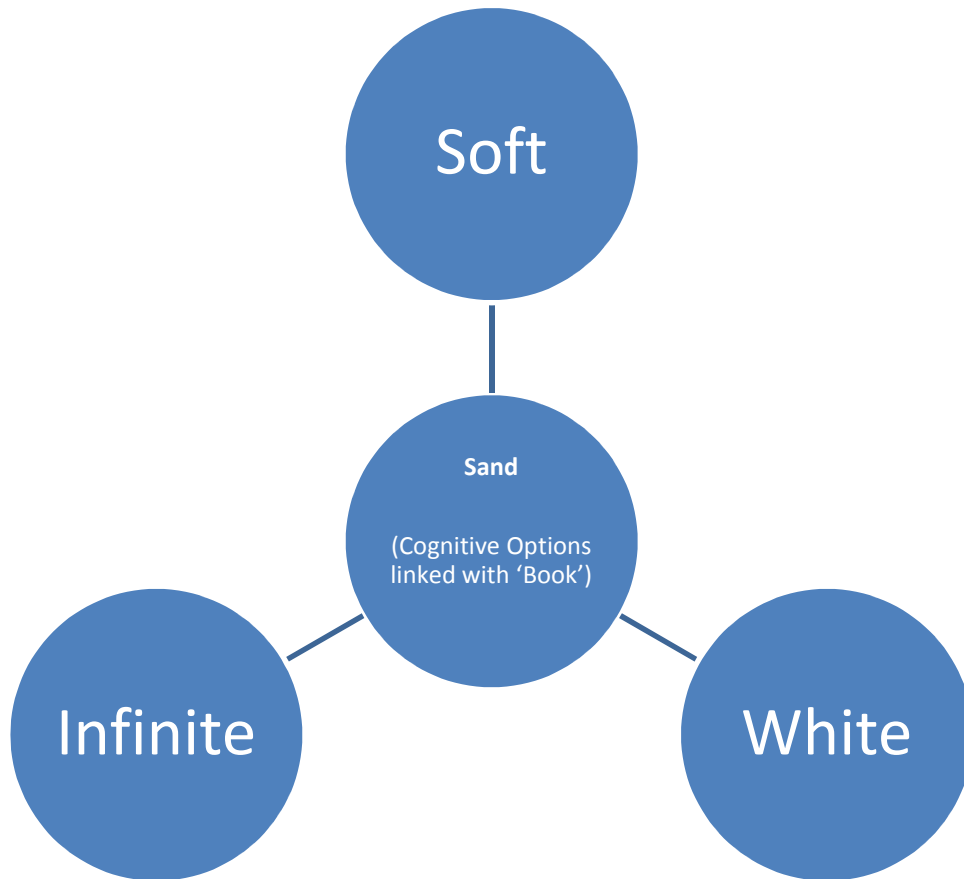
#### 4.2.1 Title: Laying the cognitive foundations for the reader

The here following analysis employing the ‘Wave Method’ will in each section analyze first the short story ‘The Book of Sand’, followed by the discussion of the short story ‘Pierre Menard, Author of the Quixote’.

##### 4.2.1.1. ‘The Book of Sand’

The title of the first Borges short story analyzed here, ‘The Book of Sand’, represents a choice of metaphor which is employed specifically to enhance the reader’s receptive cognitive mechanisms from the very outset. Thus, for lack of any further input at this stage of the story when only the title has been read and the main body of text has not yet been reached, the metaphor activates in the reader’s mind the multiple possible characteristics of sand, and links these with those of the other mental space involved in the metaphor: that of the book. Cognitively, the reader is confronted with a host of options, which as we shall see (in the here following section) are immediately clarified within the first line of the beginning of the short story. But the first activation upon reading the title is one of a variation from the prototypical schemata of a book. The reader must then make a preliminary prioritization as to which of the various characteristics of sand is the most relevant in this case, being linked as it is with the ‘book’ creative space of the metaphor (as can be seen from Figure 3 below).

Figure 3: Prototype reader’s mental activation of possible characteristics of sand in title metaphor



These are then some of the prototype reader’s receptive creations in linking the creative space of ‘book’ with that of ‘sand’, as a result of the title chosen by the author. Since a literal meaning of a book made of sand is out of the question – it would after all not remain a book but fall apart into a thousand particles of sand – the reader is then asked already to actively participate in the writer-reader dynamic. Of the three options showcased in Figure 3 above, the options of ‘white’ and ‘soft’ may appear to be more likely than that of ‘infinite’. However, as will become evident in the following section on the beginning of this short story, the author indeed has implemented this metaphor to activate the shared characteristic of ‘infinite’ in creating a new reality surrounding the book that is at the heart of the story. In doing so, the productive level linguistic choice of the author brings about a creative blend in the reader’s mind which allows us in the here

following analysis to ascertain the ‘cognitive intentions’ which Borges harbored in writing this short story. There is always the element of surprise in the work of Borges, just as in this choice of title, for: “His work extended the range of serious fiction in surprising ways” (Williamson, 2004: 7). As shall become evident, the extension of reality through this extended metaphor of the ‘Book of Sand’ is designed by the author to bring across his idea of literature and reading as a never-ending process of learning. The title provides thus the initial cognitive activation in the reader’s mind, providing a shift away from standard mental associations and thus displaying creativity on both sides of the ‘writer-reader dynamic’.

#### 4.2.1.2: ‘Pierre Menard, Author of the Quixote’

The title of the second short story chosen here is equally creative as the first, in that it provides also a shift away from what Stockwell (2009: 7) calls ‘prototypicality’, and enacts what Hogan (2003: 65) finds when he writes that “a creative work shifts to more distant connections”. The use of a name in the title of a work is not at all a novel concept in literature; indeed it was employed in what is widely considered the very first European novel: ‘Don Quixote’ by Miguel De Cervantes (2006). This work, with which Borges was so familiar as to lecture about it in the United States<sup>37</sup>, formed part of the writer’s worldly input, to such an extent that the short story has taken on part of the title of the celebrated Spaniard’s novel. But in receptive terms, which is where the analysis

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<sup>37</sup> At the University of Texas in Austin, 1968.

employing the ‘Wave Method’ invariably always begins, the title chosen by Borges for his story brings with it a heightened cognitive activation on the part of the reader. Almost every reader with a basic knowledge of world literature, and certainly this prototype reader, is familiar with the fact that Cervantes was the author of ‘Don Quijote’, as it is entitled in Spanish. But now the prototype reader is presented with an altogether different proposition, a fine variation indeed by Borges, the cunning strategist. He has through the choice of a title proposed a new author for one of the most lasting works of Spanish and world literature.

Unlike the title examined in the previous short story of Borges, this one does not in effect contain a metaphor. What it does contain is a simple, and in that way all the more evocative, negation of reality as we know it. It is essentially a counterfactual blend that is activated in the reader’s mind; the first creative space bringing the input of the unknown writer ‘Pierre Menard’, the second the input of the author having written the ‘Quixote’, and finally a possible third creative space (in the case of this prototype reader) in which the own reading of the original by Miguel de Cervantes adds to the negation of the fictional reality. But it is indeed this negation which eventually brings about heightened interest in the story which is about to commence, at least in the case of the prototype reader, as can be seen in table 7 below.

Table 7: The counterfactual blend employed in the title ‘Pierre Menard, author of the Quixote’

<u>Actor</u>	<u>Creative Space 1</u>	<u>Creative Space 2</u>	<u>Creative Space 3</u>	<u>Generic Space</u>	<u>Emergent structure</u>
Reader (receptive)	Identity: Pierre Menard	Identity: Author of the Quixote (Counterfactual)	Identity: Own worldly reading of ‘Don Quixote’ by Miguel de Cervantes (negation of reader’s worldly knowledge of literature and which author wrote which novel.)	Identity: Pierre Menard as an author, ‘Don Quixote’ as a work of fiction.	New received fictional reality: Pierre Menard as the author of the ‘Quixote’; heightens reader interest to see how this can be possible.
Writer (creative)	Identity: Pierre Menard	Identity: Author of the Quixote (Counterfactual) Example of heightened writing creativity in that it provides variation from standard and dissolves ‘threshold of rationality’.	Identity: Writer’s possible own experience of reading ‘Don Quixote’ and purposeful negation of this knowledge for new fictional blend.	Identity: Pierre Menard as an author, ‘Don Quixote’ as a work of fiction.	New created fictional reality: Pierre Menard as the author of the ‘Quixote’; creates new possibilities for fiction progression.

This counterfactual blend is thus achieved at the productive stage (wave 2 and 3) through a simple composition at word choice level. The prototype reader knows Cervantes to be the author of the work in question (and Borges indeed relied on this essential literary knowledge to bring about his desired cognitive effect in the writer-reader dynamic), but the title simply negates this reality. It is a stark reversal of Stockwell’s (2009: 7) notion of ‘prototypicality’, and at the same time a reflection of the cognitive intentions of Borges to create imaginary worlds, fantastic vehicles of the mind through which he, like Kafka, could bring across to the reader his desired message in all the more moving manner. This

notion of creativity is shown by García Ramos (2003: 17) when he writes on Borges that: “La validez de la literatura para Borges no reside en su correspondencia con lo real, sino en su capacidad inventiva de formas y de mundos imaginarios.” This imaginary world begins to take form in the reader’s mind as soon as the title is read, but it is with the beginning of the story (to be analyzed in the here following section) that the transformation from reality to imaginary world really begins to take shape. As is the case in the work of Kafka examined in the previous section, the choice of title effectively creates a notion of expectation in the reader that what is to follow in the opening lines will be an altogether unique experience. It is this heightened creativity in the ‘writer-reader’ dynamic which made both such successful writers of 20<sup>th</sup> Century literature.

#### 4.2.2 The beginning

##### 4.2.2.1 ‘The Book of Sand’

The ‘Book of Sand’ commences receptively with another reference to the ‘sand’ activation in the title, in the form of a quote before the actual beginning of the story: “thy rope of sands...George Herbert (1593 – 1633)”. This provides the reader with an intermittent period between title and beginning of the short story in which the concept of ‘sand’ in the metaphor of the title is reinforced through repetition, and the specification of

the characteristic utilized for the book comparison is slightly delayed. This delay in specification may only be a matter of a split second until the first sentence is read. Thus receptively the prototype reader is confronted with a previous example of a ‘sand’ metaphor in world literature. This is a productive level choice of great importance by Borges in that it reveals his worldly input at (wave 1) of believing that literature is essentially a creative activity where ‘no one has claim to originality’, as James E. Irby writes in his introduction to the ‘Labyrinths’ collection (2000a: 23).

Let us move on then to the very first sentence of the story, when the reader is confronted with a long, repetitive first sentence which clarifies which of the characteristics of the ‘sand’ metaphor employed in the title is to be the relevant one. Here the reader is introduced into the text with the following words: “The line consists of an infinite number of points; the plane, of an infinite number of lines; the volume, of an infinite number of planes; the hypervolume, of an infinite number of volumes...” (Borges 2000b: 89). In receptive terms, the repetition of the word ‘infinite’ a total of four times within the very first line forcefully confirms to the reader which characteristic of sand will be the relevant one for this particular short story – that of its ‘infinite’ nature. But there is nothing tedious about the repetition in the opening sentence of Borges here; it is stylistically exceptional and represents the essence of the writer’s “tight, almost mathematical style” (James E. Irby, 2000a: 9): the powerful repetitions, the frequent use of semi-colons, the enigmatic open ending to the first sentence. These are all linguistic choices (wave 2 and 3) of the Argentine writer, eternalized in the linguistic end product at wave 5. But what of the actual cognitive effects of these choices in the ‘writer-reader dynamic’?

In this regard it is relevant to return to the work of Stockwell (2009: 22), examined in the Literary Review of this study, which deals with ‘resonance’ in literary reading: “The degree of resonance in any given literary reading is not simply a matter of the stylistic power of the text, but is also a matter of the reader’s intensity of alertness, degree of resistance, or willingness to invest themselves emotionally in the experience.”

The emotional investment of the reader in this case is an effortless persuasion on the part of Borges; there is now a clear prototype reader alertness and focus on the infinite nature of this ‘Book of Sand’ alluded to in the title. What follows in the story is a heightening of this ‘resonance’ which Borges consciously turned into his celebrated style: “To say that the story is true is by now a convention of every fantastic tale; mine, nevertheless, *is* true.” (Borges, 2000b: 89). Here now the reader is led into one of the famous labyrinths – full of contrasts and hidden meanings – which Borges so loved to construct and which also find their way to the title page of this particular story collection. Despite the writer’s penchant for creating ‘imaginary worlds’ (García Ramos, 2003: 17) in his fictions, the reader is led astray by the seemingly true nature of the fantastic tale that is to follow. Truth is unreality here, and unreality is mired in truth. This is Borges at his best. And there is no reader imagination, it seems, which can resist reading on, finding out, discovering the essence, the essential questions, the progression and the conclusion of this story. But first, as the reader’s mind reels with possibilities in this airy labyrinth, Borges begins his second paragraph with a more conventional introduction: “I live alone, in a fifth-floor apartment on Calle Belgrano. One evening a few months ago, I heard a knock at my door. I opened it, and a stranger stepped in.” (Borges, 2000b: 89). It is a fascinating sequence of short sentences, put together to great effect.

This is certainly a more conventional beginning which the prototype reader is familiar with from his knowledge of world literature; an introduction of the narrator, and his place of residence; the entrance of a stranger; the opening of a door. The effect on the receptive mechanisms of the reader is to awaken a sense of familiarity after the unusual, enigmatic opening paragraph. Variation, followed by something akin to the standard. Borges was, then, keenly aware of the necessity of variation from the standard in order to heighten creativity in the reading experience. And in terms of resonance, we might ask; why has Borges chosen this double-beginning of sorts – the first showcasing which feature of sand is the relevant one to consider for the metaphor in the title, the second setting the scene for the story? Again, reaching right to the essence of the cognitive intentions of Borges, which can be deduced from his production level choices, it can be said that this mirrored beginning was a purposeful device employed by Borges in order to heighten the cognitive attention of his readers. Consider the following self-analysis conducted by Borges as an afterword to his stories in ‘The Book of Sand’: “The story’s murky beginning attempts to imitate the way Kafka’s stories begin”. Here, Borges, writing on the 3<sup>rd</sup> of February 1975 in Buenos Aires (Borges, 1994: 94), effectively showcases a fragment of his worldly input in the form of the literature of Kafka – which he was one of the first to translate into the Spanish language. Indeed, as shall become evident in the analysis of Gabriel García Márquez, the Colombian writer was in turn influenced by the Borges translation of Kafka’s work. We have already seen (in section 4.1 on Kafka’s ‘Metamorphosis’) the keen attention Kafka paid to catching his reader’s attention from the very beginning with a highly innovative opening sentence and paragraph. By his own admission, Borges here tries to recreate such a highly cognitive beginning, and this is reflected in the enigmatic

opening paragraph that takes us into the story of the ‘Book of Sand’. The second paragraph, then, serves to reconfirm the reader’s interest by actually providing the beginning of the progression of this short story, which shall be discussed in the here following sub-section (4.2.3.1).

#### 4.2.2.2 ‘Pierre Menard, Author of the Quixote’

The beginning of the short story ‘Pierre Menard, Author of the Quixote’ is a direct continuation of the fantastical world created through the negation of a well-known author-book pairing in the title. When the reader is still questioning the unreality of the connection between the well-known work ‘Don Quixote’ and the unknown author Pierre Menard (a blend created by the cognitive creative impulse of the writer), Borges moves quickly to cement this new reality in the form of an almost academic opening sentence: “The *visible* work left by this novelist is easily and briefly enumerated.” (Borges, 2000a: 62). In receptive terms, the use of this dry, formal opening sentence, which is associated by the prototype reader with the type of language used in academic writing, creates a resonance (Stockwell, 2009: 22) of factuality. The continuity with the counterfactual blend in the title is effortless, with the use of “this novelist” asking the reader to connect the name of the author in the title with the rather vaguer allusion in the first sentence, making thus for a complete lack of interruptions which might disrupt the flow of the reader’s attention to the linguistic end product. Indeed, one might say that the reader is

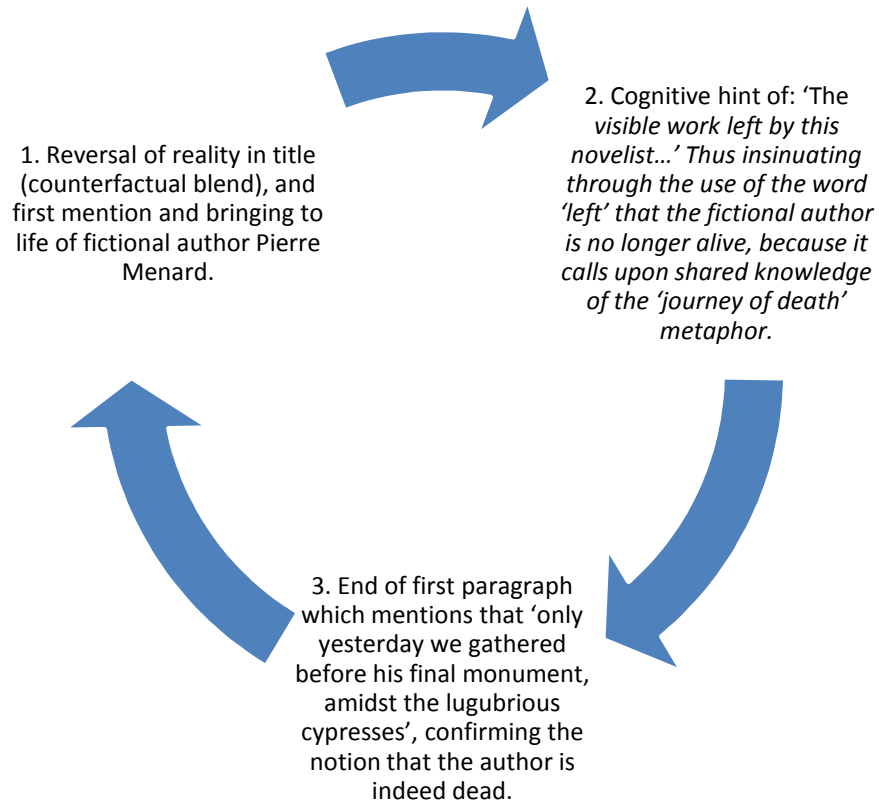
actively engaged from the very first line, forced thus into creating a fictional world by the author’s skillful application of linguistic devices. Within the first sentence itself, Borges uses italics to lay a cognitive hint for the reader which points to later revelations in the story. This creates further interest in the prototype reader’s mind, creating thereby the following double question: what is the *invisible* work of the author, and will we be confronted with it in the progression of the story?

The initiation of the progression of ‘Pierre Menard, Author of the Quixote’ is effectuated by the mention of a ‘catalogue’ (by means of a double repetition, in the second and third sentences of the story), which is also an interesting word choice given that the prototype reader has already been given the impression of almost academic writing – a mental schema into which a literary catalogue would fit easily. As with the italicization of the word ‘visible’ in the first sentence, this productive level choice may be linked back to the cognitive intention on the part of the author to prepare the terrain for the progression of the story, which, as we shall see, also contains a catalogue of the narrator’s making. What, then, might such inter-linking by the writer between story parts effect in the writer-reader dynamic? Cohesion of the story and continuity in the reader’s mind may be two of the elements which are crucial in this respect. In the creative mechanisms of the writer, these ‘cognitive hints’, as I refer to the placing of previous information which is later corroborated through further information, is a common feature in successful literature.

Borges has the likely cognitive intention here of creating heightened interest in the reader’s mind, by creating suspense, as well as thereafter causing a ‘revelatory effect’ through which the reader experiences the positive emotional experience of confirming

previous blends, or linking together seemingly disparate elements of the same story. Thus, Borges draws the first paragraph to a close with the following sentence in the linguistic end product (wave 5): “One might say that only yesterday we gathered before his final monument, amidst the lugubrious cypresses, and already Error tries to tarnish his Memory” (Borges, 2000a: 62). Besides creating an authentic resonance of *tristesse* on the receptive side of the writer-reader dynamic through his productive level word choices, there is now the confirmation that the fictional (created by the creative mind of Borges) author Pierre Menard is indeed dead. This also validates the use of the word ‘left’ in the opening sentence. Death is in this linguistic choice of metaphor by the author a ‘journey’, upon which the author has embarked and ‘left’ behind something in the form of the writings he completed in his lifetime. In conjunction with the title and the confirmation of Menard’s death at the end of the paragraph, Borges has remarkably managed to create in just a single paragraph a new fictional reality in the reader’s mind. The novelist Pierre Menard, born in receptive terms in the title, and whose death is hinted at in the first sentence, is indeed no more. The cognitive hints placed by Borges are essential in creating a new blend for the purpose of this particular story. This is achieved, within a single paragraph, by means of the cognitive hints placed by Borges and then mentally revisited by the reader as illustrated in Figure 4 below. Despite continuing to exist as separate entities in the linguistic end product (wave 5), the procedural schemas of reading fiction means that the prototype reader re-visits the cognitive hints from the very start (the title), by which time a new reality of Pierre Menard has been created. Within moments of being brought to life in the prototype reader’s mind, the supposed author of the ‘Don Quixote’ has already suffered a much-mourned death.

Figure 4: Cognitive effects in the reader’s mind of the writer’s use of ‘cognitive hints’



This cognitive inter-correlation is indeed a continued creative mechanism on the part of Borges to enhance the effects in the reader’s minds of the labyrinths he continually wove through his fiction writings.

#### 4.2.3 The progression

##### 4.2.3.1 ‘The Book of Sand’

The progression of the ‘Book of Sand’ commences with the arrival of the tall stranger into the narrator’s flat. In a mechanism which is part of the procedural schemas of fiction writing, Borges sets out to describe at this stage the physical characteristics of the newly arrived stranger. As Hogan states (2003: 47): “When authors set out to write in a particular genre, they themselves draw on feature hierarchies, and contrastive prototypes, as well as salient exemplars...authors also follow scripts. Both authors and readers rely on procedural schemas.” The description of the stranger is interesting in this regard in that it both complies with the reader’s expectation of a physical description of a main character, but then immediately confounds these expectations by describing:

“a tall man, with blurred, vague features, or perhaps my nearsightedness made me see him that way. Everything about him spoke of honest poverty: he was dressed in gray, and carried a gray valise. I immediately sensed that he was a foreigner. At first I thought he was old; then I noticed that I had been misled by his sparse hair, which was blond, almost white, like the Scandinavians’.” (Borges 2000b: 89)

The prototype reader thus comes across a description of the main character, as the procedural schema of a short story dictates, but this description is then entirely vague, grey and blurred to behold. What, then, does the reader learn from this description? Only that the man is tall and dressed in grey, which is hardly very revealing, and that the narrator senses that he is a foreigner. The height of ambiguity, thus, produced by the

productive level linguistic choices (wave 2 and 3) of Borges with word choices such as ‘vague’, ‘blurred’, ‘poverty’, ‘grey’ and so forth. What, then, is the cognitive intention of Borges in maintaining such a general profile for the man who is to be of utmost importance in this story? This intentional vagueness can be seen as a variation from the standard of entirely specific character descriptions, and thus shows a heightened example of creativity. Additionally, it can be seen as an autobiographical mention from the worldly input (wave 1) of Borges. The Argentine writer increasingly lost his eyesight and was blind for the last part of his life (García Ramos 2003: 7).

As Semino (2002: 251) writes: “Characters arise as a result of a complex interaction between the incoming textual information on the one hand and the contents of our heads on the other.” Thus whether the vaguely described stranger is indeed a personification of Borges or just an important character bringing us closer to the main question remains essentially within the cognitive domain of each specific reader. What is certain is that the possibility of such an interpretation exists as a result of the writer’s linguistic choices, and that the nameless character is the one who brings the two central questions of this story into focus. Firstly: what, then, is this Book of Sand? And secondly: what importance does it have for the narrator?

The first of these two questions is at the heart of the progression of this story, as the stranger “opened his valise and brought out the book. He laid it on the table. It was a clothbound octavo volume that had clearly passed through many hands.” (Borges 2000b: 90). The plain resonance of the text here is used to heighten receptive tension in the reader ahead of the final discovery of what the ‘Book of Sand’ consists of, but already the previous cognitive hints on the part of the writer recommend the interpretation that this

indeed is the book which is mentioned in the title. There is even the renewed secondary possibility that the ‘soft’ characteristic of sand discussed earlier may be what is referred to in the metaphor of the title – with the mention of ‘clothbound’ activating such a possibility. But the prototype reader is soon confronted with the answer to the first question in the form of the words which the stranger mysteriously utters when asked by the narrator where he got the book from (Borges 2000b: 90): “He told me his book was called the Book of Sand because neither sand nor his book has a beginning or an end.”

The question of utmost importance is thus resolved at the midway point of this story – but it is then immediately usurped in the very next sentence by that which now takes on the reader’s full attention. What indeed will happen to the narrator with regards to this strange book? “He suggested I try to find the first page.” (Borges 2000b: 90). And a little later: “Now try to find the end.” (Borges 2000b: 90). Stylistically short, these sentences thereby have a heightened impact on the reader in that they plaintively show the new reality, within the blended space of this short story, of what the reader knows can only exist within a short story – an infinite book with no beginning and no end. Thus the impact of this revelation in the reader’s mind is expertly timed by the writer to provide a temporary heightening of cognitive activity with regards to the extended metaphor chosen in the title. This can be seen in table 8 below.

Table 8: Use and effect of ‘Book of Sand’ metaphor in progression of Borges short story

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Reader (receptive)	‘Book of Sand’ metaphor.	Re-activation of title, as well as continued reversal of reality in fictional blend.	-	-	Reader experience of reading books which seemingly have no end. As well as experience of seemingly infinite reading options in libraries and bookshops.
Writer (creative)	‘Book of Sand’ metaphor	Possible feedback from publisher, critics and readers.	(Borges 2000b: 90): “He told me his book was called the Book of Sand because neither sand nor his book has a beginning or an end.”	Links the extended metaphor in the title with meaning in the body of the text. Turns unreality into fictional reality through the use of a single extended metaphor.	Writer knowledge of interminable nature of literature writing, which always continues even after the death of an author.

In revealing the meaning of the title metaphor at this stage, Borges thus made a productive level choice of linking the extended metaphor in the title with meaning in the body of the text. The essential creativity of this piece of writing, and what sets it apart from the standard with which the reader may be more familiar, is that Borges turned unreality into reality through the use of a single extended metaphor. But what prompted this linguistic choice at the cognitive level? Which worldly input caused Borges to negate reality in order to achieve a heightened cognitive impact in the reader’s mind? The answers to these questions may be found in fundamental convictions which Borges held about the art of writing, explained by Williamson (2004: 7) in the following terms:

“Borges rejected what he saw as the intrinsic fraudulence of realism – the novelist pretending to hold up a mirror to ‘reality’ when in fact he knew as little as the reader about the way the world actually worked.” Thus turning away from realism, Borges opted for the magical unreality of the ‘Book of Sand’ metaphor. But with one central question already resolved in the reader’s mind, how does Borges keep the reader’s interest steadily high until the end of this short story? This shall be examined in the final sub-section, which deals with the conclusions of the work.

#### 4.2.3.2 ‘Pierre Menard, Author of the Quixote’

The progression of ‘Pierre Menard, Author of the Quixote’ commences a cognitive referral in the reader’s mind to the opening sentence, as Borges writes: “I have said that Menard’s visible work can be easily enumerated. Having examined with care his personal files, I find that they contain the following items:” (Borges 2000a: 63). What follows in the linguistic end product (wave 5) in list form and alphabetical numeration is a catalogue of Pierre Menard’s visible writing work produced in his lifetime. In terms of the procedural schema of a short story, this is certainly an unusual choice and a variation from the standard format of paragraph upon paragraph of writing. Which effect does this variation have upon the reader’s receptive system? Firstly, it serves to confuse the reader’s sense of genre, that is to let the reader question whether this is indeed still fiction or some other form of writing. Reality is thus both upended and reaffirmed in the new fictional blend, as the catalogue which follows is written in a highly pragmatic resonance

(Borges 2000a: 63): “A monograph on Leibniz’s *Characteristica universalis* (Nimes, 1904).” This dry, academic sentence is in the prototype reader’s mind almost an allusion to a scholarly journal with all its associated norms and linguistic standard forms. Menard, then, seems to the reader a rather normal writer in interpreting the resonance of Borges’ writing. But in the very next sentence, the reader is again made to doubt the conclusion just reached, as it reads (Borges 2000a: 63): “(e) a technical article on the possibility of improving the game of chess, eliminating one of the rook’s pawns. Menard proposes, recommends, discusses and finally rejects this innovation.” In receptive terms, the reader is then confronted with an entirely creative writer called Pierre Menard, who takes risks with innovations which attempt to work against centuries of established chess rules, and ultimately fails in the attempt (and openly admits this failure by rejecting the innovation). It thus creates a sense of expectation in the prototype reader which is inextricably linked with the title: which craziness has Menard undertaken, then, with regards to the Quixote?

It is quite evident that the productive level choices (at wave 2 and 3) of Borges were aimed at producing just this effect, and instilling in the reader the intrinsic desire to keep on reading the story to find out what Menard has attempted with regards to the ‘Quixote’. Borges then produces the list of Menard’s visible writing not just to heighten the impression of reality created by his fictional author, but also as an ideal mechanism to contrast the more mundane with the spectacularly creative aspects of the Menard’s work. As James E. Irby writes in the introduction to ‘Labyrinths’ (Borges 2000a: 20): “The list of Pierre Menard’s writings, as Borges has observed, is not ‘arbitrary’, but provides a ‘diagram of his mental history’ and already implies the nature of his ‘subterranean’ undertaking.” Thus the writer’s productive level choices have been effectuated to

heighten reader interest within the writer-reader dynamic and imply the seemingly impossible undertaking which is to follow. And it would seem that the writer-reader dynamic forms a key part of the reading experience for the author, for as García Ramos (2003: 24) finds:

*“Según el escritor argentino, hemos de buscar el placer de la lectura y no tanto los datos biográficos, las fechas de edición o las bibliografías que acompañan al libro que tenemos en nuestras manos. Hemos de buscar la revelación excepcional, el dialogo único, casi siempre irrepetible, que se establece entre un texto y su lector.”*

This pleasure in reading and not so much in the biographical facts is what makes the list utilized in the progression of ‘Pierre Menard, Author of the Quixote’ all the more interesting. Is this long alphabetic list of fictional works (which reaches all the way to the letter ‘s’) then an ironic observation on the part of Borges of the essential futility of attempting to compile a biographical catalogue of any given author’s works?

Certainly it would seem so when the reader reaches the heart of the progression of this story: “I turn now to his other work: the subterranean, the interminably heroic, the peerless.” (Borges 2000a: 65). Intuitively, but brought about of course because of the author’s concerted placing of cognitive hints along the way, the reader senses that the meaning of the title and the enigmatic opening line will now be revealed. That this is indeed the case showcases the author’s appreciation of timing in creating dramatic tension within the short story genre. Borges then writes that: “His admirable intention

was to produce a few pages which would coincide – word for word and line for line – with those of Miguel de Cervantes.” (Borges 2000a: 66) Here the linguistic word choices indicate to the reader that the narrator is favorably inclined towards Menard’s strange intentions, something which cannot be said for the prototype reader. This is the moment then when the reader is both enlightened about the meaning of the title and the opening sentence, as well as being visited by a sense of skepticism that the author Pierre Menard should be trying to replicate an already existing work of fiction. But the skepticism of the reader is decidedly not shared by the narrator, and Borges chooses his productive level word choices to great effect to enhance the ‘admirable intention’ of Menard’s unusual project. The mention at this point of the name of the real author of the novel – Miguel de Cervantes, serves here to enhance the contrast between fictional blend and reality, between the prototype reader’s knowledge of the world of literature and the temporary reality of the fictional world which Borges has here created. This contrast is placed by Borges at a key moment in the story. The central question ceases being: how can Menard be the author of a work of fiction by Cervantes? It now becomes: can Menard indeed hope to succeed in this unlikely undertaking? This is a fictional implementation of what Fauconnier and Turner refer to as “implicit counterfactual spaces” (2003: 87) in the creative process. The counterfactual nature of this blended creative space is confirmed by the entirely unreal world which Borges has created for the reader through the choice of the title, the beginning and the progression of the story. In doing so, Borges displays the cognitive intentions, which we shall see in the here following conclusion section, of showing that there is nothing which has not indeed been written before.

#### 4.2.4 Conclusion

##### 4.2.4.1 ‘The Book of Sand’

The concluding phase of this short story begins with the sale of the ‘Book of Sand’ to the narrator, who offers his entire pension and a collector’s bible in return for the infinite book. After the purchase of the book, the narrator finds that (Borges 2000b: 92): “I went to bed but could not sleep. At three or four in the morning I turned on the light. I took out the impossible book and turned its pages.” The extension of the metaphor of the title is driven here by shared experiences which the prototype reader brings to the reading experience, namely that of combating insomnia with a book at hand. In this case though, the writer actually reverses that standard reading experience by insinuating that it was indeed the book which caused this insomnia – because of its existence in the narrator’s life. But even as the final conclusion of the story draws nearer, the narrator continues to bring across uncertainty to the reader. This resonance is one of an almost unsettling ambiguity as to the meaning of the story as it nears the final page, which heightens the sense of mystery surrounding the ‘Book of Sand’. In terms of receptivity, this ambiguity keeps the interest of the reader heightened, because the new central question of how the Book of Sand will affect the narrator remains unresolved.

At the productive level the writer’s word choices in a single sentence are indicative of the doubts which remain in the narrator’s mind as to what the true meaning of his new possession will be: “To the joy of possession was added the fear that it would be stolen from me, and to that, the suspicion that it might not be truly infinite.” (Borges 2000b: 93)

The word choice progression from ‘joy’ to ‘fear’ and finally ‘suspicion’ showcases the essence of the linguistic choices of Borges, which keep the reader enmeshed in a web of uncertainty and ambiguity as to the final outcome of the story. But which cognitive intentions formed the foundations of these linguistic choices? At this stage it is interesting to inspect the declarations of Borges which are reproduced in the work of García Ramos (2003: 43): “El tiempo me ha enseñado algunas astucias...Narrar los hechos (esto lo aprendí en Kipling y en las sagas de Islandia) como si no los entendiera del todo”. This is an extremely valuable observation in that it showcases the cross-cultural influences which Rudyard Kipling and the ancient Icelandic stories formed as part of the worldly input (wave 1) of the writer Borges. Thus the cognitive intentions of Borges at this point of the story, when the conclusion is nearing, is to keep the reader in suspense through a technique which forms part of the writer’s cross-cultural input in the form of reading other author’s writing. In the case of this particular story, this influence then seems to have had a key influence in the shaping and stylistic resonance which it effectuated upon the reader.

It is thereafter interesting to note the use of metaphor in the following instance in the last but three paragraphs of the story: “A prisoner of the Book, I hardly left my house.” (Borges 2000b: 93). In terms of the reader’s receptive impact, the choice of the prisoner metaphor portrays the Book of Sand as a jail in which the narrator seems to be stuck for an infinite amount of time, and from which escape is hardly a possibility. Indeed, as can be seen from table 9 below, this metaphor is also informed by the reader’s own experiences of reading a book which may at times become a ‘captivating’ experience.

Table 9: Use and effect of ‘Prison’ metaphor in conclusion of Borges short story

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Reader (receptive)	‘Prison’ metaphor linked with ‘Book of Sand’.	Addition of ‘prison’ creative spaces to already existing metaphor of ‘Book of Sand’. Results in a merge of ‘prison’ and ‘infinite’ creative spaces.	-	-	Own reading experience in which a book becomes ‘captivating’.
Writer (creative)	‘Prison’ metaphor linked with ‘Book of Sand’.	Possible feedback from publisher, critics and readers.	“A prisoner of the Book, I hardly left my house.” (Borges 2000b: 93).	Links the extended metaphor in the title with meaning in the body of the text. Turns unreality into fictional reality through the use of a single extended metaphor.	Writer’s own experiences of a reading experience leading to a neglecting of the outside world.

Thus, in stark contrast with the earlier fascination for the book which made the narrator buy it with his entire savings, the prototype reader now notes a transformation which has already been cognitively prepared by Borges with his cognitive hints in the earlier sentence analyzed (My italics: “To the joy of possession was added the *fear* that it would be stolen from me, and to that, the *suspicion* that it might not be truly infinite.”). Through this interrelation between parts of the narrative, the ‘Book of Sand’ has then become a trap for the narrator, which is related by the prototype reader again to the earlier ‘sand’ metaphor in the activation of the creative space of quicksand becoming a trap. But besides this interesting writer’s choice of metaphor, which shall be analyzed here shortly,

the same sentence also offers the ‘container’ image schema of ‘house’ which becomes a trap for the narrator.

There is thus a double effect brought about by the author’s linguistic choices (at wave 2 and 3). Not only is the metaphor presenting the transformation of the Book of Sand from fascination to threat, but the use of the ‘container’ image schema additionally adds further weight to this notion. Borges here opts for an image schema which is very much universal in the reading process – from the ‘container’ of the book fiction finds its way to the head, which controls the actions of the body in the house from which the narrator can now ‘hardly’ escape. It is this latter word choice which gives Borges the opportunity to conclude his story; for if there were no escape at all for the prisoner that is the narrator, the ‘prisoner’ metaphor would essentially be a reality from which no reader, let alone narrator, could adequately escape. But there it is, the autobiographically tinted finale (Borges 2000b: 93): “Before my retirement I had worked in the National library, which contained nine hundred thousand books...I took advantage of the librarians’ distraction to hide the Book of Sand on one of the library’s damp shelves”. Borges, who actually worked as the director of the National Library in Buenos Aires, lets his worldly input (wave 1) flow into this finale here, an exercise in heightened authenticity which, as he wrote in the following extract, was a regular feature of his work: “In the course of the story I have interwoven, as is my wont, certain autobiographical features.” (Borges 2000b: 94) Again the author’s linguistic choices are sublimely effectuated in producing in the writer-reader dynamic the notion of change which is so important in successful fiction. The concept of infinity, so much emphasized at the beginning of the story, has in the conclusion been transformed into a specific number of books in a library, and the

normally dry features of sand from the metaphor in the title have been laid to rest on the “library’s damp shelves”.

There is thus a veritable sense of closure here which the author creates with a sense of linguistic certainty that can be traced back to his cognitive intentions as to the meaning of the story. Each individual reader must then interpret whether the process of reading is indeed an infinite matter which makes prisoners of readers, or whether books can indeed be laid down and simply forgotten with time. Borges gives the reader his own cognitive hint as to his personal answer in the final sentence, which reads (Borges 2000b: 93): “I now feel a little better, but I refuse even to walk down the street the library’s on.”

#### 4.2.4.2 ‘Pierre Menard, Author of the Quixote’

The conclusion of the short story ‘Pierre Menard, Author of the Quixote’ is initiated by Borges with the attempt on the part of Pierre Menard to replicate the ‘Don Quixote’ (Borges 2000a: 66): “The first method he conceived was relatively simple. Know Spanish well, recover the Catholic faith, fight against the Moors or the Turk, forget the history of Europe between the years 1602 and 1918, *be* Miguel de Cervantes.” In receptive terms the reader is thus confronted with an implicit counterfactual blend, which is brought about linguistically by means of a series of imperative orders. This has the effect on the

prototype reader<sup>38</sup> of virtually taking the prototype reader into the mind of Pierre Menard, thereby making the implausible effort of reproducing a book already written somewhat more understandable. This seeming madness thus seems to have a method. There is a counterfactual fictional blend taking place, because the prototype reader does not believe that a serious writer will put his energies towards re-producing a text which already exists. But by being transported into the mind of Pierre Menard through the use of the imperative form, the reader begins to understand the motivations behind Menard’s attempt and the essential dilemma facing the fictional French writer.

Thus from being in a position of potentially losing reader interest due to the utopian nature of the counter-factual blend that is Menard’s undertaking, Borges transforms the situation through his productive level choice of the linguistic device (wave 5: the imperative form). The intended effect of the author’s productive level choice here may well have been to offer the reader a view into the fictional author’s mind; something which is indeed achieved to great effect. By projecting Pierre Menard as a very much fallible and thereby entirely human writer, Borges achieves authenticity in the reading experience. The resulting reader familiarization with the main character is a crucial part of the writer-reader dynamic in this particular story, and also serves to highlight the cognitive intentions of the author, as can be seen from table 10 below.

Table 10: Use and effect of ‘Prison’ metaphor in conclusion of Borges short story

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<sup>38</sup> Who is also involved with writing projects and understands the plaintive discipline which is implied by these orders.

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Reader (receptive)	Imperative verb form in relation to counterfactual fictional blend.	Reader is confronted with an implicit counterfactual blend, by means of a series of imperative orders. Takes the prototype reader into the mind of Pierre Menard.	-	-	Own experience of imperative orders issued to self in order to keep discipline in daily creative writing efforts.
Writer (creative)	Imperative verb form in relation to counterfactual fictional blend.	Possible feedback from publisher, critics and readers.	(Borges 2000a: 66): “The first method he conceived was relatively simple. Know Spanish well, recover the Catholic faith, fight against the Moors or the Turk, forget the history of Europe between the years 1602 and 1918, <i>be Miguel de Cervantes.</i> ”	By projecting Pierre Menard as a very much fallible and thereby entirely human writer, Borges attempts to achieve authenticity in the reading experience.	Borges belief that no work is essentially original, as well as his knowledge of ‘Don Quixote’, and his own experience of discipline needed in the creative writing process.

This study has already touched upon the notion which Borges propounded that no work of fiction can essentially be original because it draws upon a plethora of past works and shared experiences. Thus when Borges wrote in an afterword: “I doubt that the hurried notes I have just dictated will exhaust this book, but hope, rather, that the dreams herein will continue to ramify within the hospitable imaginations of the readers who now close it” (Borges 2000b: 95), he was essentially also hinting at what in his opinion makes for a

memorable fiction experience: writing which continues to dynamically activate the reader’s cognitive processes, even when the book has already been put down. In creating an entirely fallible portrait of the deceased French writer at the heart of the story, Borges laid the foundations for his story’s conclusion. For the prototype reader so accustomed to the continual process of trial, failure and improvement of the young writer, there can be nothing more human than failure, and it is precisely this element which Borges exemplified in his fictional hero as the central question moves towards a final resolution. Can Menard succeed in his unlikely undertaking? The answer is insinuated by Borges in the lead up to the culmination of the story (Borges 2000a: 69): “There is no exercise of the intellect which is not, in the final analysis, useless.”

Thus when Borges reproduces a passage from the original *Don Quixote* (Borges 2000a: 69), the there following extract of the same passage written by Pierre Menard takes on a crucial importance. “The contrast in style is also vivid” (Borges 2000a: 69) the narrator opines, and the prototype reader is thus surprised to find that, after various checks to make sure that it is indeed so, the two passages are completely identical. The “contrast” highlighted by the narrator is thus an illusion. Menard has supposedly succeeded in his undertaking. It is now the narrator whom the reader begins to question, for there is no contrast, and no sign of what the narrator describes in the following terms: “Cervantes’s text and Menard’s are verbally identical, but the second is almost infinitely richer.” (Borges 2000a: 69). There is still a notion of madness in the air, but it has now been shifted in the prototype reader’s mind from Menard to the narrator, who somehow finds more richness in an identical text written by Menard than in the original written by Cervantes. But the reader’s only means of reaching the final resolution of the central

question is to place their entire trust into the narrator's art. It is certainly again the aforementioned case of ambiguity in narration which Borges picked up from his cross-cultural worldly input in the form of reading. Hence the impact upon the reader of the closing paragraph is both concerted and enlightening. The narrator finds that (Borges 2000a: 71) “Menard (perhaps without wanting to) has enriched, by means of a new technique, the halting and rudimentary art of reading: this new technique is that of deliberate anachronism and erroneous attribution.”

The reader is thus confronted with an entirely Borgesian labyrinth which holds at its very centre the meaning to this story. For according to the narrator, the recently deceased French author Pierre Menard has indeed succeeded in his unlikely (one might say impossible or even questionable) undertaking. The central question has been resolved. Or has it? Does the reader now trust the narrator's judgment? Can it indeed be said that the art of reading has been ‘enriched’ because of Menard's attempts, however successful or not they may have been, to duplicate a book already written centuries before? In making this final decision, the reader is indebted to Borges as the writer in the dynamic which is unfolding and which the author hopes will continue much beyond the final sentence. For as Stockwell (2009: 22) recounts in his examination of resonance in literary reading: “The degree of resonance in any given literary reading is not simply a matter of the stylistic power of the text, but is also a matter of the reader's intensity of alertness, degree of resistance, or willingness to invest themselves emotionally in the experience.” The emotional experience of this Borges story is thus an utterly powerful one, and it is the author's skillful manipulation of the writer-reader dynamic which brings about the continuing effect of this successful piece of fiction.

### **4.3 Ernest Hemingway’s ‘*For Whom the Bell Tolls*’**

The impact which Ernest Hemingway (1899-1961) had upon both writers and readers of his generation, as well as those to follow, cannot be overstated today as the 50<sup>th</sup> anniversary of his death is marked in the year 2011. Understatement is said to have been one of Hemingway’s main tools in creating a style which played a key part in the success of his various works, and resulted in his winning the Pulitzer Prize, as well as the 1954 Nobel Prize in literature. There can thus be no doubt that Hemingway was one of the most important and successful writers of his generation, and indeed of the 20<sup>th</sup> Century as a whole. In justifying their choice of awarding the writing of Hemingway, the Nobel Prize committee put forward the following reasoning: "for his mastery of the art of narrative, most recently demonstrated in *The Old Man and the Sea*, and for the influence that he has exerted on contemporary style"<sup>39</sup>

It is precisely this stylistic excellence, this formation of an entirely unique resonance, for which the great American writer is highly significant in this cognitive study. For it is not just the stylistic devices and cognitive and linguistic choices of Hemingway which shall be examined here, but precisely first the cognitive impact that these had and continue to have upon the reader. The writer’s illustrious name soon created what many saw as a Hemingway legend – that of the all-conquering writer, sportsman, hunter, fisher and even amateur soldier. Will this legend have a key impact upon the reader’s receptive impulses, even now when public conscience of the writer is much lower than when he

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<sup>39</sup> From the website: "Ernest Hemingway - Biography". Nobelprize.org. 27 Feb 2011

[http://nobelprize.org/nobel\\_prizes/literature/laureates/1954/hemingway.html](http://nobelprize.org/nobel_prizes/literature/laureates/1954/hemingway.html)

was alive more than fifty years ago? And which role will Hemingway’s travels and related cross-cultural influences have upon the writer-reader dynamic? Given that the novel examined here is ‘*For Whom the Bell Tolls*’, Hemingway’s most ambitious work according to many observers, and also “his biggest work about war, democracy, and Spain”<sup>40</sup> (Young 1954: 116), the cross-cultural relevance is indeed elevated. In the year 1940 when this expansive novel (471 pages in the Scribner edition examined here) was finished by Hemingway, the author was indeed at the height of his creative power and international renown, waiting only to be given the external acclaim in the next decade in the form of the Pulitzer and Nobel prizes. What, then, made the writing of this highly successful author, whose name resonates with importance even 50 years after his death, so interesting to the reader?

#### 4.3.1. Title: Laying the cognitive foundations

The title for Hemingway’s novel ‘*For Whom the Bell Tolls*’ comes from the quotation by John Donne which is displayed on the page before the novel begins. Since the receptive procedural schema of the reader is to first read the title of the book, presumably in the book shop while picking up the book, the quotation of the English poet remains unseen and relevant for the moment only if the reader is familiar with his work. In this specific case the prototype reader was not familiar with Donne’s work. The initial cognitive impact of the title upon the reader is thus one of dramatic effect, given that the bells in

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<sup>40</sup> My translation from the German version of this book studied during research in Cologne, Germany.

question are associated with the creative space ‘church’ in the reader’s mind. This activation of tolling bells is linked in the prototype reader’s mind with two possible activations; a funeral or a wedding, although the latter is rather unlikely given that the setting of the novel is in the mountains in the midst of the Spanish civil war. This is a fact which the reader may well have corroborated in what is usually the next step in the procedural schema of reading – to take a look at the back cover after the title and before turning to the first page (or any other variation of these three procedural aspects). To this particular reader, then, the two initial associations are those of death, with a greater activation, and love, with a secondary activation. In many ways these are the two overriding themes of the novel which is to follow, which indicates that Hemingway has indeed made a successful linguistic choice with his title. But the reader cannot possibly know this at the moment of reading the title.

Besides the inferences of death and love which showcase the author’s cognitive intentions in the creative writing process, the title also insinuates a focus upon a single person in the novel who will become the immediate focus of attention. Indeed this will be Robert Jordan, the character ‘*For Whom the Bell Tolls*’. This focus upon the fate of a single person will be reflected in the beginning of the novel, which is to be analyzed in the here following section. Beforehand, though, it is of importance to examine Hemingway’s productive choices in utilizing this title for the novel. Young (1954: 9), writing at a time when Hemingway was still alive, noted that: “Hemingway enjoys using ironic dialogues and titles derived from quotations” (my translation from the German, as is the case with all Young quotations to follow), which is also the case in this productive choice. The linguistic end product which the title represents instills in this particular

reader, as previously mentioned, the twin mental activations of death and love, something which Hemingway likely intended when choosing the name for his great war novel. The creation of a title is a lengthy process, as the following extract from an interview with Hemingway in the *Paris Review*<sup>41</sup> showcases: “I make a list of titles *after* I’ve finished the story or the book—sometimes as many as a hundred. Then I start eliminating them, sometimes all of them...The title comes afterwards.” Thus the importance of the title in cognitive terms is that it contains the entire knowledge of the written text within its short confines, thereby making for a completely condensed form of creativity. For Hemingway in this case the title was derived from a quotation which is then also reproduced before the actual text begins. This creativity may well have taken place in the writer’s editing stage (wave 3), since the title was added after the completion of the text. Within this productive level choice lies the cognitive intention of Hemingway to attempt to show the dramatic, real nature of the civil war in Spain, which he covered as a reporter. Thus the (wave 1) worldly input is important in terms of the reading which Hemingway did of the English poet he used in the title-quotation, as well as in his own experiences as a reporter in Spain: “Hemingway used his experiences as a reporter during the civil war in Spain as the background for his most ambitious novel, *For Whom the Bell Tolls* (1940).”<sup>42</sup> It is the beginning of this ambitious novel which shall now be examined.

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<sup>41</sup> Paris Review: Issue 18, Spring 1958.

<sup>42</sup> From the website: "Ernest Hemingway - Biography". Nobelprize.org. 27 Feb 2011

[http://nobelprize.org/nobel\\_prizes/literature/laureates/1954/hemingway.html](http://nobelprize.org/nobel_prizes/literature/laureates/1954/hemingway.html)

#### 4.3.2. The Beginning

In receptive terms, the opening description in the novel ‘*For Whom the Bell Tolls*’ brings into focus from the very first word the single persona which the title alludes to (Hemingway 2003: 1):

“He lay flat on the brown, pine-needled floor of the forest, his chin on his folded arms, and high overhead the wind blew in the tops of the pine trees. The mountainside sloped gently where he lay; but below it was steep and he could see the dark of the oiled road winding through the pass. There was a stream alongside the road and far down the pass he saw a mill beside the stream and the falling water of the dam, white in the summer sunlight.”

The entire opening paragraph conveys an entirely lyrical, poetic focus on both the novel’s main character as well as the countryside which is to provide the setting for the action. In the prototype reader’s mind this brings an almost painterly clarity and focus to the scene which Hemingway describes. The reader is virtually transformed into seeing the scene unfolding through the eyes of the main character. This conversion of viewpoint is achieved despite the continued usage of the third person narrative form, and brought about in large part by the use of the ‘container’ image schema, as shown in table 11 below.

Table 11: Use of ‘container’ image schema in opening paragraph of ‘For Whom the Bells Tolls’.

<b><u>Actor</u></b>	<b><u>Linguistic device</u></b>	<b><u>Receptive effect</u></b>	<b><u>Productive choice</u></b>	<b><u>Cognitive intention</u></b>	<b><u>Worldly input</u></b>
Writer (creative)	Image schema ‘container’ used for main character’s body.	Possible feedback from publisher, critics and readers.	(Hemingway 2003: 1): “He lay flat on the brown, pine-needled floor of the forest, his chin on his folded arms, and high overhead the wind blew in the tops of the pine trees.	Creates authenticity in reading experience as well as bodily identification with main character and cognitive link to title.	Formation of unique writing style after serious injury received during WWI.
Reader (receptive)	Image schema ‘container’ used for main character’s body.	Bodily identification with character makes for vivid reading experience.	-	-	Identification with own bodily experiences of being in a forest.

The reader is thus induced through the implicit interaction in the writer-reader dynamic to feel through his own bodily experiences (of being in a forest) those feelings of the man lying there on his stomach on the pine-needled floor. By creating this implicit reader involvement through the universal ‘container’ image schema that is the body, Hemingway is activating the prototype reader’s cognitive capabilities, thereby almost letting the reader smell the forest earth below. In productive terms, Hemingway’s choice of the image schema ‘container’ for his main character in the opening paragraph is significant in that it heightens reader interest whilst at the same time creating authenticity through the precise description of the scene. As shall be discussed a little later in this analysis, this almost painterly description of the setting of the novel, bringing a very clear picture to the reader’s mind, has cross-cultural and even cross-discipline roots at the

worldly input (wave 1: in the form of art). But at this stage it is important to note the worldly input that brought about the unique style which Hemingway developed after his serious injury in World War I as an ambulance driver in Italy. As Young (1954: 178) wrote: “this style was developed and perfected in precisely the same time in which Hemingway mercilessly re-built his entire personality, after his powers had been destroyed in Italy.” The worldly surroundings and influences certainly take on a crucial importance in this regard in that Hemingway also drew heavily upon his experiences in the Spanish Civil War in writing this novel.

Perhaps in this opening paragraph Hemingway’s unique style has been given a slightly more lyrical resonance than in some of his earlier works, as Young (1954: 178) suggests. And what is so lyrically described by Hemingway is a view of the setting which provides first cognitive hints as to the bridge which is to be the centre of the main character’s focus as the novel progresses. Through the eyes of the main character, the reader is offered the magnificently clear views of the mountainside, the stream and the ‘falling water of the dam’. The influence of human orientation image schemas (up-down, front-back, centre-periphery) all play a part in this opening sequence in which the prototype reader sees the world of the main character for the first time, and essentially sees it through the as yet unnamed main character’s eyes. When Fauconnier and Turner (2003: 89) put forward the notion that: “conceptual integration is at the heart of imagination. It connects input spaces, projects selectively to a blended space, and develops emergent structure through composition, completion, and elaboration in the blend”, there is a clear application of this notion available in this opening of Hemingway’s novel.

There is a fascinating creative blend taking place for both writer and reader here, and clearly the mental activations involve different components in each case, only to be blended into the same fictional narrative. The prototype reader thus has experiences of visiting Spain and living in the country. These experiences will then subconsciously blend into the receptive reading experience as the reader interacts actively with the linguistic end product (wave 5) of the opening scene description. On the part of the writer, it is relevant to turn to the cross-cultural and cross-discipline influences upon the writer's stylistic choices. The resonance of the opening paragraph is, as already mentioned, of an almost painterly nature, a notion corroborated by Waldhorn (2002: 47): “Hemingway defines the world in a painterly manner, meticulously selecting and arranging pictorial details that register the emotion inherent in each scene.” But is this meant in a merely metaphorical sense, or did Hemingway indeed draw upon cross-discipline influences in his works? The answer seems to be the latter, for as Young (1954: 155) found: “If one wants to mention precisely the influences, then one must not forget the painters of the Luxemburg Museum, which Hemingway often visited in his Paris time. He once remarked that: ‘from Mr Paul Cézanne I learnt, how to do a landscape,’ and explained, indicating the background of a painting, ‘when we write, we always use this as well.’” The cross-cultural influences (at wave 1) are clear to observe here: the French painter and Hemingway's frequent museum visits in Paris can be seen reflected in his style of writing in the opening paragraph.

This productive level stylistic choice by Hemingway is, however, anything but arbitrary. Not only the ‘container’ of the main character's body is an image schema, but also the ‘mountain valley’, through which flows the stream which will surely need a

‘path’ to cross it. A first cognitive hint has thus been placed by Hemingway. But it is crucially left to the reader to make the actual cognitive connection to the revelation of the importance of the bridge which will follow. It is indeed this connecting element, the symbolic bridge, which the main character must blow to pieces, as the reader finds out in the progression of the opening chapter both through the main character’s thoughts as well as through the flashback which contains his conversation with the Soviet general who gives out these instructions.

Receptively, the symbolism of the bridge is telling. Given that bridges serve to unite two points of land, the fact that it is chosen by Hemingway as a central focus of his great war novel is surely revealing of his cognitive intentions in writing this novel. Any sense of national unity is savagely destroyed in a civil war, and the reader is to become aware of the grisly nature of the conflict as the novel progresses. For now, though, the bridge provides an abstract version of these later conflicts. Twice on the first page, the word ‘bridge’ is imprinted in the reader’s mind. There follows shortly thereafter the revelation (Hemingway 2003: 4) that the main character, now named as Robert Jordan, must blow up the bridge as part of a Republican offensive against the fascist forces. In cognitive continuity from the title, the reader then is introduced at the beginning of the novel to the character whom the title seems to be alluding to, and thereafter to the major problem facing that character. Robert Jordan is to blow up the bridge which the opening paragraph seems to be cognitively hinting at. The writer’s cognitive intentions are clearly placed; the symbolic unison of two parts of a country in the form of a bridge is to be blown up in the process of a civil war. And it is this dangerous activity which Robert Jordan must perform that gives the reader the sense of fatality insinuated by the title. A first central

question thus emerges in the reader’s mind, and one which is linked cognitively with the activation of ‘death’ discussed earlier in the title section: will Robert Jordan succeed in his mission to blow up the bridge and emerge from the dangerous mission with his life intact?

In order to move towards the resolution of this question, and thus the progression of the novel, Hemingway then progresses to the introduction of the set of supporting characters in the opening chapter of the novel. The old man named Anselmo is present from the very first, sharply effective dialogue of the first chapter and provides Robert Jordan with unrestricted support in his mission. Hemingway skillfully sketches the character of an old man who is entirely trustable; the opposite is felt by the reader upon the introduction of the Soviet General Golz, who seems to be a chameleon constantly changing colors in his army uniform. But at least there is no innate tension in the air with Golz in the flashback scene, the opposite of which the reader feels to be the case when Robert Jordan meets the leader of the group of insurgents which is to help him in his difficult undertaking: Pablo. The reader can feel the tension between Pablo and Robert Jordan entirely clearly in the following dialogue (Hemingway 2003: 10): “Yes, I have use for dynamite. How much have you brought me?” – ‘I have brought you no dynamite’, Robert Jordan said to him evenly.” The conflict situation between the two continues to ebb and flow as the chapter, and the novel, continues. By placing an early obstacle in the main character’s realization of his goal, the interest and involvement of the prototype reader is heightened.

This effect is achieved in part by the writer through the use of the ‘hunting’ metaphor in the linguistic end product, which is placed precisely into the heightened tension of the

conversation between Robert Jordan and Pablo, in which the latter begins (Hemingway 2003: 14): “We killed a pair of guardia civil,” he said, explaining the military saddles.’ – ‘That is big game.’” Here the hunting metaphor chosen by Hemingway at the productive stage serves to enhance the reader’s understanding of the grisly nature of the Spanish Civil War. Surprisingly for the reader, it is the main character, for whom sympathy has been building through the ‘container’ image schema of the opening paragraph, who brings up this metaphor. It is a hunting metaphor which effectively turns the enemy into animals who can be hunted ‘for sport’. The metaphor chosen is highly relevant in the writer-reader dynamic, in that the prototype reader already brings to the reading a negative impression of hunting animals for entertainment purposes, thus heightening the negative impact of the chosen metaphor.

Robert Jordan thus conveys a certain innate cynicism about the Civil War to the reader, although there is still the option of believing that the metaphor used by the main character is an attempt to impress Pablo and thereby win his trust in the mission of blowing up the bridge. In any case, the metaphor is a striking one; the enemy effectively is turned into an animal, a trophy to be hung on the wall or bragged about. The reader will react to this in a variety of manners depending upon his or her own experiences of or opinions on hunting, as can be seen in table 12 below. In the writer-reader dynamic, the significance lies in the writer’s productive choice, which likens the enemy in the Spanish Civil War to animals, thereby de-humanizing them. That it is not only the Fascists to whom this applies can be seen when Pablo says (Hemingway 2003: 15): “And what can I look forward to? To be hunted and to die. Nothing more.” Hemingway’s cognitive intentions are likely to showcase the brutal nature of the Spanish Civil War, and to make

the statement that this is equally the case on both sides. The writer’s worldly input (wave 1) comes in the form of his well-documented hunting passion, which of course helped to inform his cognitive choices, as Young wrote (1954: 146): “A writer is more or less formed through all his experiences”.

Table 12: Use of ‘hunting’ metaphor in opening chapter of ‘For Whom the Bell Tolls’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Hunting’ metaphor used by main character in opening chapter.	Possible feedback from publisher, critics and readers.	(Hemingway 2003: 14): “We killed a pair of guardia civil,” he said, explaining the military saddles.’ – ‘That is big game.’”	To showcase brutal nature of Civil War on both sides.	Author’s well-documented hunting passion.
Reader (receptive)	‘Hunting’ metaphor used by main character in opening chapter.	Feel brutality of Civil War and ease of killings on both sides, augmented by own negative opinion on hunting (see worldly input)	-	-	Own opinions on hunting which links hunting for sport with unnecessary brutality against defenseless animals.

The reader’s cognitive inferences from the title are thus already confirmed with these rather direct references to death, although the really grisly details of killings are still to follow in the progression of the novel. But the notion of love is only hinted at in this opening chapter. Twice, Hemingway places cognitive hints for the reader; the first being in a conversation with the Soviet General Golz, who asks Robert Jordan about his relationships with girls during the war, and the second coming at the very end of the first

chapter: “I wonder what could make me feel the way these horses make Pablo feel” (Hemingway 2003: 16). This sentence actively asks the reader to complete the blend with possible own experiences of love and the feeling it unleashes, and hints at the later ecstasy that Robert Jordan is to feel in his love affair in the midst of his difficult mission. As Waldhorn (2002: 33) points out: “The constants in Hemingway’s style function, then, to express a vision of experience and also to express his hero’s emotional response to that experience.” It is precisely this emotional response which shall be examined in the analysis of the progression of the novel, which is to follow in the next section.

#### 4.3.3. The progression

The progression of the novel is carried forward through a triple focus in cognitive terms for the reader, in each case facilitated by the author’s expertly use of tensely crafted dialogues. One focus is on the group of partisans who form Robert Jordan’s unit in his mission; a second on the bridge itself which is to be blown up; and finally there is the aforementioned developing love affair between Robert Jordan and María. In each case, the use of cross-cultural influences is given in the creative process as well being present in the receptive impact, giving the reader the authentic impression of actually being in the setting of the Spanish mountains where the novel is set. Hemingway thus creates authenticity through dialogue. Not only that, but the reader acutely feels the building of dramatic tension in the text through the use of these conflict-riddled dialogues such as the following (Hemingway 2003: 53): “Then we will do the bridge without thy aid,’ Robert

Jordan said to Pablo. – ‘No,’ Pablo said, and Robert Jordan watched his face sweat. ‘Thou wilt blow no bridge here.’ – ‘No?’ – ‘Thou wilt blow no bridge,’ Pablo said heavily.”

The dramatic tension is built up through the author’s use of dialogue which directly puts the mission of Robert Jordan against the interests of the partisan group leader Pablo. Moments later the prototype reader is confronted with the climax of tension in the fourth chapter: the switch of allegiance of all members of the partisan group from Pablo to his wife (Hemingway 2003: 53). In productive terms the choice of dialogue to create tension in the story portrays the author’s skillful usage of one of the key components of the fiction process. Dialogues form an important part of the expected procedural schemas of reading a novel, but despite this ‘standard’ activation the reader’s attentiveness remains high because of the importance of dialogue in the human condition. Stockwell (2009: 25) refers to this reader attentiveness to dialogue in terms of empathetic recognisability: “Human speakers (because of their activeness) are better attractors than a description of a hearer.” Tension-filled dialogues in this novel serve, then, both to create authenticity because of their centrality to everyday human life, and also to drive forward the progression of the story. The central question of the novel, whether Robert Jordan will succeed in blowing up the bridge and escape alive, is thus at first complicated by the partisan leader’s refusal to participate in the mission of the bridge, because he believes it will endanger the lives of the whole group which he is leading up to that point. Shortly thereafter the transfer of allegiances to Pilar, the *mujer* of Pablo, facilitates the progression of the story. The usage of the Spanish word ‘mujer’ for Pablo’s wife will be discussed a little later in this analysis. What is interesting to note receptively at this stage

is firstly the positive assessment of Pilar towards Robert Jordan’s undertaking, and secondly her reading of the American’s hand in chapter 2 (Hemingway 2003: 34) during which she abruptly drops his hand and refuses to tell him what she saw in it with regards to his future. A sense of foreboding is instilled in the prototype reader, who does not believe in this kind of prophesy but certainly appreciates that others, including the author of the novel, may well do so. The positive effect of the switch of allegiance only partially serves to dilute this apprehension in the reader, an apprehension which provides cognitive continuity when considered in conjunction with the title and the overall impact of the writer-reader dynamic in the reading process.

On the writer’s part, this resonance of apprehension and thus direct involvement in the novel is achieved not just through skillful (wave 2 and 3) word choices, but also through the interaction of characters with opposing goals, such as Pablo and Robert Jordan, or even Pablo and his wife Pilar. This conflict is then contrasted with interactions of character with the same goals; Anselmo and Robert Jordan, as well as María and Robert Jordan. Thus in the same chapter two where the hand-reading by Pilar takes place, Robert Jordan meets María for the first time. The romantic involvement between the two is hinted at strongly from the start, as is the fatal ending which the reader cannot yet know (unless upon second reading), but only sense. If it is indeed upon a second reading, the reader cannot help but note the irony of the question Pablo poses in chapter 2 (Hemingway 2003: 21): “And you,’ Pablo said. ‘If you were wounded in such a thing as this bridge, you would be willing to be left behind?”

Effectively this is the tragic final scene of the novel. But the first-time reader cannot know this yet. It is but a bread piece of the cognitive crumb-trail which the writer leaves

in his writing wake in attempting to evoke the reader’s cognitive activities to the greatest extent possible. Whether this was done at the writer’s editing stage (wave 3)<sup>43</sup> cannot be ascertained for sure. A writer of Hemingway’s maturity at this point of his writing career may well have mastered the art of fiction to such an extent as to leave these cognitive hints along the writing trail in a first writing (wave 2). This would be a progression in the mastery of long-term acquisition of domain-specific schemas, and according to Gardner (1982: 175) at least ten years are needed to progress from novice to master in any domain. Indeed, if for Gardner creativity consists of varying those acquired schemas, with the existing schemas representing continuity, while the variations come to show innovation, then Hemingway’s variation of acquired schemas is astonishingly effective indeed.

At this early stage in chapter 2, the reader can only take Pablo’s prophetic words as a possible blended scenario of danger which may be one of many conclusions of the blowing of the bridge. Indeed Pablo seems to be, from the very start, a character synonymous with danger for Robert Jordan. But it is Robert Jordan who the prototype reader now truly cares about. And each tense conversation with Pablo only serves to enhance this bodily identification, heightened earlier on by the use of the ‘container’ image schema. Indeed Pablo takes on such an importance precisely because he is what the reader finds to be endangering the success of the main character’s mission. As logical as Pablo’s arguments may be, the reader sides with the main character. In bringing about this empathy effect, Hemingway chooses the ‘hunting’ metaphor again in his productive level choice (wave 2 and 3) at the strategically important point directly after the switch of

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<sup>43</sup> As may be thought likely by the prototype reader in his function as a young writer of his first novel ‘Selfishness’, in which I laid many of the cognitive hints of my novel at this stage at wave 3.

leadership allegiance in chapter 4. Consider then the hunting metaphor employed when Pablo rhetorically questions the intelligence of following Robert Jordan’s plans (Hemingway 2003: 54): “And it means nothing to thee to be hunted then like a beast after this thing from which we derive no profit? Nor to die in it?”

The reader’s receptive creative spaces are not only reactivated through the repeated hunting metaphor of the opening chapter, which is later also repeated at various important moments throughout the novel, but also reminded of the extremely dangerous, and potentially even deadly, nature of Robert Jordan’s undertaking. Finally, the prototype reader is also repulsed by the selfish nature of Pablo’s thoughts, which serve by contrast to highlight Robert Jordan’s noble intentions in serving the fight against the fascist forces in Spain as a foreign volunteer. The prototype reader’s status as a foreigner living in Spain also adds to the heightened identification factor here with the main character in this internal fight with Pablo. Indeed, in the absence of a concrete ‘fascist’ antagonist to oppose the protagonist, the enemy rather remaining as a dark cloud on the horizon until the very end, Pablo takes on this role. Hence this contrast between Pablo and Robert Jordan is shown by the writer’s contrasting usage of the ‘hunting’ metaphor in the dialogues of the two.

Pablo uses it to try and convince his partisan group that the matter of the bridge is too dangerous and will bring no benefits to the group, whilst in the first chapter it was used by Robert Jordan when he was still trying to impress Pablo and win him over for the matter of the bridge. Robert Jordan employs the metaphor, rather reluctantly it might seem, to win confidence, whilst Pablo employs it to take away the partisan group’s confidence in Robert Jordan. The writer’s cognitive intentions of creating a protagonist

and an antagonist in the same camp cannot be more clearly defined than in this productive level usage of the ‘hunting’ metaphor. The ‘beast’ which Pablo involuntarily compares himself to is indeed likely the vivid mental image which the author is trying to bring across to the reader through his linguistic choices. And successfully so. Pilar’s later descriptions of Pablo’s atrocities committed in the Civil War will only serve to enhance this notion. But already before then the reader is repulsed by the character who seems to be standing in the way of the success of Robert Jordan’s mission. Indeed the supporting characters, sketched so vividly as to be entirely alive for the duration of the reading process, are vintage Hemingway creations, as Young (1954: 82) finds: “The side characters are as real as always. Pilar and Pablo, a second heroine and an occasional villain, are sketched most extensively, but equally impressive are the other Spaniards – Anselmo, Agustín, Primitivo and a wonderful, entirely useless gypsy.”

Young is entirely precise in identifying Pablo as an ‘occasional villain’, because the Spaniard shifts constantly in his positions towards Robert Jordan and the bridge. Hemingway thus makes for an even more dramatic and unpredictable hero-villain scenario as the novel progresses steadily towards its final culmination: the blowing of the bridge by Robert Jordan and the group of partisans. Thus when the above mentioned gypsy urges Robert Jordan to kill Pablo in chapter 5 (Hemingway 2003: 61), the American says it is not something to do for the ‘cause’. Just moments later Pablo appears from the cave, smoking a highly symbolic Russian cigarette which Robert Jordan has brought with him. Entirely surprisingly for the reader, Pablo now profoundly proclaims his support for the mission of the bridge: “Pay no attention to arguments,” he said, ‘you are very welcome here’.” (Hemingway 2003: 62). But despite the varying positions

which Pablo proclaims, Robert Jordan remains wary of Pablo, as does the reader. This receptive effect is only heightened when Pilar, on the trek up the mountain to the guerilla group leader ‘El Sordo’, reveals to María and Robert Jordan that Pablo committed various grisly atrocities in the early days of the Civil War. Thus Pilar recounts how Pablo formed a line of armed people who beat and jeered known fascist sympathizers of the village across a cliff where they then fell to their death (Hemingway 2003: 113): “with Pablo behind him as though Pablo were cleaning a street and Don Faustino was what he was pushing ahead of him.”

In this choice of metaphor, Hemingway induces in the reader’s mind a comparison which likens Pablo to a cleaner and Don Faustino to dirt. It is an apt observation on the writer’s part on the importance given to human lives in the course of a civil war. In the writer’s cognitive intentions, the message is clear; those who are apparently ‘cleaning’ the country of evil are indeed confusing human beings for worthless dirt. And knowing this, Hemingway’s reader fears that a similar experience may await Robert Jordan if he is not wary of Pablo, the merciless murderer.

Thus the side characters are highly important in this novel, in that they create a real sense of danger and uncertainty towards the outcome of the novel, thereby making for a constant cognitive involvement for the reader. And as has been touched upon in the literature review of this study, Hogan (2003: 46) points out that cultural implications also play a large part in the conceptualization of reader prototypes, elucidating that: “someone living in Norway is likely to envision the prototypical man as having blonde hair.” The receptive effect of both the gypsy and of Pablo on the reader therefore depend not only upon the cross-cultural implications that Hemingway’s diverse travels had upon the

actual linguistic end product (wave 5), but also upon the reader’s own prototypes and stereotypes involving such characters. A reader with experience of living in Spain, as in the case of the prototype reader employed in this study, may thus have a greater understanding of the relevance of the gypsy in Spanish society than a reader who has never been to Spain, or one who has just visited the country as a tourist. The reading experience differs accordingly.

In making his productive choices, Hemingway too is influenced by cross-cultural implications: he incorporates in his characters both the American prototypes of his own culture (in the character of Robert Jordan), as well as the Spanish influences of his worldly experiences as a war correspondent in the Spanish Civil War and his extensive knowledge of Spanish culture (in the Spanish characters who form the supporting cast). So in fact both American and Spanish prototypes are to be found in the novel. What makes these characters so ‘real’, as Young (1954: 82) found, is that Hemingway indeed used such remarkable exemplars, these being specific examples of an entire population of potential characters, to great effect to create tension and dramatic confrontations between his characters. These exemplars may be from different cultures – as is the case with Robert Jordan and María, but they are united by a joint cause. Indeed, to Young’s (1954: 82) list above one must surely add María, one of the most important side characters in many respects in that she adds a new dimension to the central question in the reader’s mind: will the mission of blowing up the bridge be successful, and thereby liberate the two for a successful relationship and perhaps even eventual marriage?

In cognitive terms this effect in the reader’s mind is achieved through the use of the vivid exemplar that is María: her golden colored skin, brown eyes and general beauty

may all conform with the reader's prototypical image of a 'beautiful Spanish woman', but the variation utilized by Hemingway to such great effect is the alteration in her physical appearance, which, as the reader finds out very early on (Chapter 2: Hemingway 2003: 21) was brought about during the captivity she suffered at the hands of the fascists. In chapter 7 (Hemingway 2003: 71), then, the reader finds out what has already been hinted at earlier; that María was repeatedly raped by the fascists during her captivity. The impact of this revelation is heightened by the fact that she is inside Robert Jordan's sleeping bag at the moment of revealing this to him, and they are beginning to become romantically involved. And as the romantic involvement develops further between the two, so does the conflict and violence intensify in the novel as a whole. Thus in Chapter 13 when Robert Jordan and María once again make love after they have been to visit the guerilla leader named 'El Sordo', the dark imagery and 'path' image schema which the author utilizes hints at the later tragedy which is being slowly built up in the reader's subconscious mental activation through the following fascinating passage in the linguistic end product (Hemingway 2003: 159):

“For him it was a dark passage which led to nowhere, then to nowhere, then again to nowhere, once again to nowhere, always and forever to nowhere, heavy on the elbows in the earth to nowhere, dark, never any end to nowhere, hung on all time always to unknowing nowhere, this time and again for always to nowhere, now not to be borne once again always and to nowhere, now beyond al bearing up, up, up and into nowhere, suddenly, scaldingly, holdingly all nowhere gone and time absolutely still and they

were both there, time having stopped and he felt the earth move out and away from under them”.

This passage is indeed highly poignant and effective on both sides of the writer-reader dynamic. Receptively, the free-flowing resonance, the ebbing and flowing of a seemingly never-ending sentence, and the continuous repetition of ‘nowhere’ all serve to enhance the spiritual effects of the physical love-making scene, rendering thereby a heightened sense of foreboding in the reader’s mind. Is the ‘dark passage’ to be representative of Robert Jordan’s mission becoming a final journey? Does the repetition of ‘nowhere’ indicate that this is the ‘path’ (image schema, to be discussed in table 13 below) where the relationship is ‘going’? The prototype reader is inundated with doubts as to a positive final outcome, which heightens the importance of each utterance the lovers make to each other – it could indeed be their last, and each act of love-making becomes a possible farewell. And all this in the midst of the temporary climax which love-making presents in the romantic relationship, bringing into the fictional blend the reader’s own experiences as well to heighten the impact of the reading experience.

The author on the other side of the dynamic indeed writes in a highly creative fashion here, temporarily abandoning his trademark short, terse sentences and opting for a flowing resonance which makes the aforementioned heightened impact in the reader’s mind. In a show of creative adaptability to fictional necessities, Hemingway portrays the extraordinary act of love-making and the emotions it unleashes in both characters and readers with a markedly different resonance. Additionally, the double repetition of ‘dark’, first in collocation with ‘passage’, and thereafter on its own in a rather more abstract and

highly creative fashion, brings to the reader’s mind the imagery of night, of death, linked with the basic metaphor in which light is associated with good and dark is bad. The author’s productive level choices here are linked with the final few words where ‘the earth moved out and away from under them’, giving the reader both the impression of a grave being dug for someone, as well as hinting at the final blowing of the bridge which is to come. The writer’s choice of the word ‘nowhere’ is telling; it is employed 10 times in the collocation of ‘to nowhere’ in this remarkable sentence which is used to describe their love-making, with the last two collocations being ‘into nowhere’ and ‘all nowhere’. The 10 uses of ‘to nowhere’ form part of the image schema ‘path’ which is activated subconsciously in the reader’s mind, as discussed above. The cognitive intentions of the author in this repetitive usage of the image schema may well have been to showcase that this love was indeed ‘going nowhere’, and that these were their last hours together. In terms of the meaning behind this linguistic choice, it is possible to interpret that Hemingway was attempting to portray the short-lived nature of human lives in the Spanish Civil War, and how love indeed played a role of very secondary importance in the grander, violent picture of things.

Table 13: Use of ‘path’ image schema in Chapter 13 of *For Whom the Bell Tolls*

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Path’ image schema.	Possible feedback from publisher, critics and readers.	(Hemingway 2003:159):“For him it was a dark passage which led to nowhere, then to nowhere, then again to nowhere, once again to nowhere,	Show short-lived nature of love and life in Spanish Civil War.	Author’s well-documented reports and participation in Civil War, and possible experiences of love therein.

			always and forever to nowhere		
Reader (receptive)	‘Path’ image schema.	Feel that love affair between two main character’s is ‘going nowhere’, builds apprehension in progression of story.	-	-	Own experiences of growing up in Middle East to backdrop of 1 <sup>st</sup> Gulf War, as well as own experiences of love-making and ‘path’ along which a relationship supposedly goes: courtship – dating – engagement – marriage – etc.

Despite the writer’s cognitive intention of portraying love as being of a secondary nature in the violent drama of war, it plays a highly important part in the progression and then conclusion of Hemingway’s novel. Thus at the end of chapter 20, Robert Jordan and María fall asleep in the former’s sleeping sack once again; at the start of the next chapter a fascist army member comes riding up the hill and Robert Jordan kills him with a shot from the sleeping sack. And it is indeed the beginning of the conclusion as El Sordo’s guerilla group is massacred atop the hill with the support of Fascist war planes and the mission of the bridge begins shortly thereafter. The grisly nature of this conflict is portrayed in vivid detail in chapter 27 (Hemingway 2003: 307), and there can be no doubting now that the final blowing of the bridge, which shall be discussed in the here following section, is about to leave in the reader’s mind a profound impact which has been steadily building since the first cognitive hints offered by the writer in the title. The proximity of death and love has never been more explicit than in the last night before the blowing of the bridge, when Robert Jordan and María lie together once again in his

sleeping sack (Chapter 31, Hemingway 2003: 341) and they talk about the possibility of visiting Madrid together after the fight the following day. With the sense of foreboding that has been building, the reader is well aware that this might be an illusion that will not become a reality.

#### 4.3.4. Conclusion

It is precisely in the sleeping bag with María and Robert Jordan that the decisive day in the blowing of the bridge is begun in surprising fashion for the reader. This is achieved through a skillful plot level variation on the part of the writer, which has however been entirely justified through the earlier portrayal of Pablo as an individual who is constantly shifting his loyalties. Pilar wakes Robert Jordan early in the morning on the day of the bridge attack to inform him that Pablo has gone with some of the dynamite equipment, deserting the group and throwing the whole attack plan into disarray. The cognitive hints placed throughout by the author are thus confirmed; Robert Jordan did not trust Pablo from the start, and it is now from within the own camp that difficulties arise ahead of the blowing of the bridge (Hemingway 2003: 369): “The smart, treacherous ugly bastard. The dirty *cabron*.” Interestingly, while English profanities have been censored throughout by the author (or the publisher, at stage 4; either way, the publisher would have had the ultimate word on this and the author’s censorship was likely due to his

knowledge of what the publisher would print), the Spanish one is written down here in the original language at this crucial stage of the novel.

There is thus continuity as the use of Spanish words and phrases, at times translated for the benefit of the reader, at times not, has been seen from the beginning of the novel, as with the earlier mentioned ‘*mujer*’. There are the marked greeting words like ‘*hola*’ and short utterances like ‘*qué va*’. There is the referral to Robert Jordan as ‘*Inglés*’, or the affectionate conversion of his name into the Spanish sounding ‘Roberto’, and the naming of the ‘*guardia civil*’ whom Pablo has killed in cold blood. But as the conclusion nears and tension reaches a dramatic climax, the use of Spanish sentences increases visibly in length and frequency. The prototype reader, who is also a speaker of Spanish, is familiar with sentences such as (Hemingway 2003: 388) “But *me cago en la leche*, but I will be content when it starts.” As with the earlier Spanish profanity, this one is not translated into English, but the following crucial Spanish sentence upon the surprising return of Pablo to the group is indeed translated (Hemingway 2003: 389): “He turned to Robert Jordan. ‘*En el fondo no soy cobarde,*’ he said. ‘At bottom I am not a coward.’”

In each case the author italicizes the Spanish phrases to mark the difference to the reader, who takes from this use of a foreign language in the linguistic end product a heightened sense of authenticity of what it must really have felt like in the midst of the battle. For it is in Spain, after all, where the action is set, and Hemingway makes the reader feel this with unmistakable style and trademark force. He does so with an innate sense of poetic resonance, as Young (1954: 82) pointed out: “The reproduction of their conversations, written down in directly translated Spanish - how it must be picked up by the ear of an American, provides a triumph of the author’s poetic efforts.” Besides being

a cognitive measure employed to portray to the reader with authenticity the tense war dialogue in the middle of a dangerous mission, the use of Spanish is also an example of cross-cultural influences which showcase Hemingway’s heightened creativity. Indeed, for Hogan (2003: 79): “radical innovation in the last three centuries – from Goethe through Picasso – has been bound up with cross-cultural influences.” It can be said that Hemingway’s variation from the standard in employing Spanish sentences and key words in the midst of an English language novel crucially influences the writer-reader dynamic. This acquisition of authenticity is achieved to varying degrees, of course, depending on the reader’s familiarity with the Spanish language and with the use and context of Spanish profanities. And the use of French in chapter 42 (Hemingway 2003: 413) serves in the same way to lend emphasis to the writer’s cognitive message that war is essentially human folly in all languages and across all settings. The celebrated General Marty, brilliantly sketched by Hemingway, has gone mad according to those serving under him, and therefore hinders the timely deliverance of Robert Jordan’s message that the fascists have discovered the supposedly secret offensive before it has even begun. Thus the last opportunity to avoid bloodshed is lost, and a bloody finale to the novel seems all but imminent.

Indeed the dying of those fascinatingly sketched Spanish side characters begins shortly. The first to fall is Fernando, in the operation previous to the blowing of the bridge, with Robert Jordan’s trusted helper Anselmo dying in the steel rain following the blowing of the bridge itself. The bridge is described in the linguistic end product (wave 5) as being destroyed in the following manner (Hemingway 2003: 445) “then there was a cracking roar and the middle of the bridge rose up in the air like a wave breaking,”

which leaves in the reader’s mind the impression of a large, unstoppable force which is rushing forward without any hope of stopping it. This is indeed the conceptualization of the war in the prototype reader’s mind, mirrored to the backdrop of the implications which might now become relevant to the main character’s fate after the death of his close companion Anselmo.

It is at this stage of the novel, with the conclusion entirely imminent and the reader’s focal question as to the plot partially satisfied with Robert Jordan having blown the bridge successfully, that the ‘container’ of the main character’s body again takes on an entirely heightened importance, as it did at the start of the novel. Thus the imminent question in the reader’s mind now is whether Robert Jordan will escape with his life intact, and whether the relationship with María can survive. In this regard Hemingway’s word choices for Robert Jordan’s feelings are highly significant in the aftermath of Anselmo’s death (Hemingway 2003: 447): “In him, too, was despair from the sorrow that soldiers turn to hatred in order that they may continue to be soldiers.” Here Robert Jordan’s body again becomes a ‘container’ holding despair, activating that image schema and its sense of heightened bodily identification in the reader’s mind. The writer’s cognitive intentions in this sentence, and by extension in the entirety of the novel, can hardly be overlooked either; there is a clear comment here on the essential human folly that war is, and how negative emotions must be channeled into hatred in order to continue following orders. The writer’s own worldly experiences (wave 1) of reporting on the Spanish Civil War clearly informed this linguistic choice of the ‘container’ image schema here.

But if the reader carries hope into the final pages of the novel following Robert Jordan’s survival of the blowing of the bridge, that turns out to be a carefully placed cognitive ambush by the writer. A happy ending is not to ensue.

In the complicated horseback escape, it is Pablo who suggests that Robert Jordan ride across the valley and up into safety in the most dangerous final position. The sense of foreboding which the author has been building throughout the novel is then fulfilled when Robert Jordan is badly wounded in the escape attempt. It is thereafter also to Pablo whom Robert Jordan confides first that he will not ride with them in the escape because his leg has been too badly injured in the fall of the injured horse. The irony here cannot be missed by the reader. It is to Pablo, the antagonist, whom Robert Jordan confesses that he should be left behind to die. But there is also the author’s cognitive message to consider: it is not usually the noble-minded who survive in a war. This message must be linked back to Hemingway’s conviction that (Paris Review interview with Hemingway: Issue 18, Spring 1958):

“From things that have happened and from things as they exist and from all things that you know and all those you cannot know, you make something through your invention that is not a representation but a whole new thing truer than anything true and alive, and you make it alive, and if you make it well enough, you give it immortality. That is why you write and for no other reason that you know of. But what about all the reasons that no one knows?”

It is indeed a fitting indication of the success of Hemingway in the undertaking of his grandest and most ambitious novel on war and on Spain that the characters are indeed so alive by the end of this novel that the emotional threshold discussed in the literature review is crossed by the reader in this conclusion. Thus when Robert Jordan begs María to ride away and escape (alive) with the remainder of the insurgent group, so that he can stay behind on the forest floor to die on his own, the dying protagonist utters the following words (Hemingway 2003: 463): “Thou wilt go now, Rabbit. But I go with thee. As long as there is one of us there is both of us.” The tragedy is complete, and the reader’s two remaining questions are effectively negated in a single sentence. Robert Jordan will not survive, and thus cannot be together with María, cannot marry her, and cannot visit Madrid with her as they had planned. But in his sentence, the main character tells María that he will go with her, spiritually. Receptively, there is thus an insinuated joining of the two ‘containers’ that are the bodies of María and the (injured, and thus now useless in the harsh reality of war) body of Robert Jordan. After the sexual unison of their bodies in earlier scenes, the spiritual unison now follows, as can be seen in table 14 below.

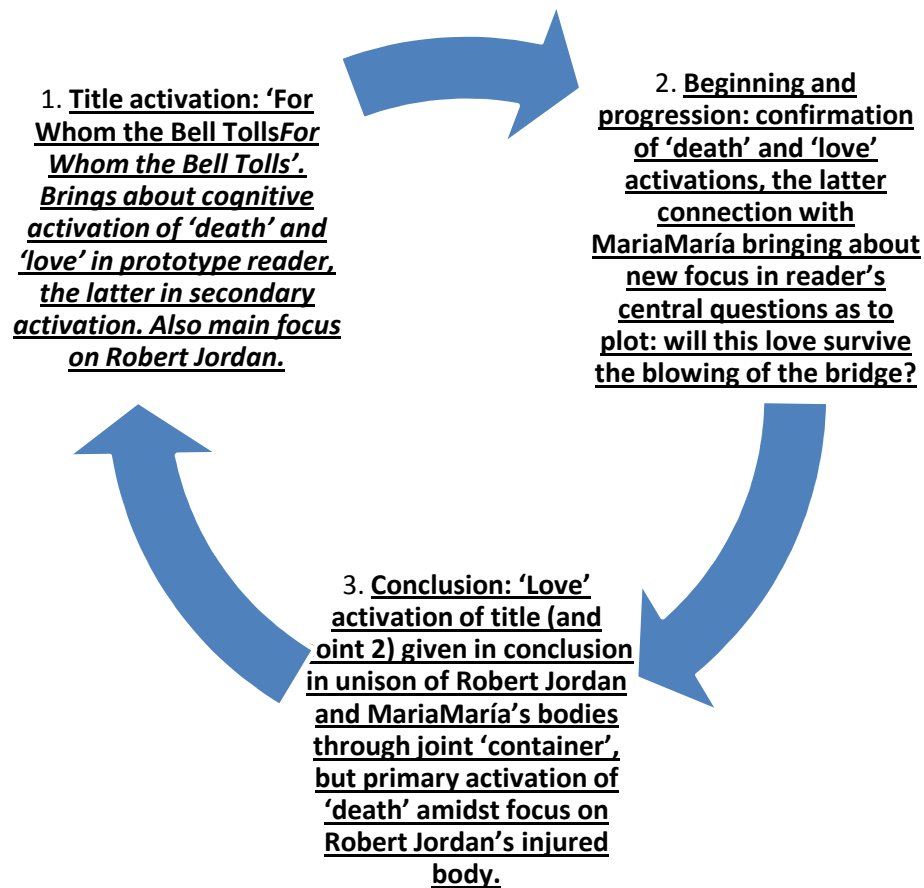
Table 14: The bodily unison of María and Robert Jordan upon the latter’s injury in conclusion of ‘*For Whom the Bell Tolls*’

<u>Actor</u>	<u>Creative Space 1</u>	<u>Creative Space 2</u>	<u>Creative Space 3</u>	<u>Generic Space</u>	<u>Emergent structure</u>
Reader (receptive)	Identity: Robert Jordan as badly injured individual who loves María but is unable to escape with her.	Identity: María as healthy individual who loves Robert Jordan and is able to escape.	Identity: Spiritual merging of two ‘containers’ in María’s body, allowing both to escape. Counterfactual blend because the reader knows that Robert Jordan will stay behind and die. Triggers emotional response.	Identity: Robert Jordan as condemned and injured individual, María as healthy individual; both love each other but only one can escape alive.	New received fictional reality: María escapes and becomes spiritual container for Robert Jordan’s condemned body. Acceptance of this notion depends on reader’s beliefs in terms of love and religion.
Writer (creative)	Identity: Robert Jordan as badly injured individual who loves María but is unable to escape with her.	Identity: María as healthy individual who loves Robert Jordan and is able to escape.	Identity: Spiritual merging of two ‘containers’ in María’s body, allowing both to escape. Counterfactual blend of heightened creativity which allows writer to make profound emotional impact on reader in conclusion.	Identity: Robert Jordan as condemned and injured individual, María as healthy individual; both love each other but only one can escape alive.	New created fictional reality: María escapes and becomes spiritual container for Robert Jordan’s condemned body. Fictional blend informed by writer’s worldly experiences in Spain: helps writer conclude novel.

Indeed this fictional blend of bodily ‘containers’ of the two lovers is what allows the writer to drive forward the novel to its conclusion, and allows Hemingway to transmit to the reader his cognitive intentions in writing the novel. The reader is finally left alone with Robert Jordan after all the group has ridden away on horseback. María is gone. Love has not succeeded in overcoming war. But Hemingway has succeeded in a grand manner

in bringing across his central cognitive message of the devastating effects of war on personal lives through this masterful novel. All that remains then is to observe Hemingway’s hero lying with his sub-machine gun ready on the forest floor at the very end of the novel, awaiting the enemy forces as they ride up towards his position (Hemingway 2003: 471): “He could feel his heart beating against the pine needle floor of the forest.” The ending is left open, but it is clear that the continuity from the title and the opening sentence has come full circle.

Figure 5: Circular cognitive reader activation in the course of ‘For Whom the Bell Tolls’



For the prototype reader, there is only one character now for whom the bell tolls. It tolls for Robert Jordan as he lies on the forest floor, just as he did in the first sentence of the novel. The ‘death’ activation of the title has prevailed over the secondary activation of ‘love’. A sense of completion (even though it is entirely negative) is thus achieved in the prototype reader. But the reader is also left to wonder how the enemy officer whom Robert Jordan will soon gun down will be any compensation for the love with María which he will shortly lose, to death. These will be Robert Jordan’s last heartbeats, but the prototype reader does not want it to be so. Therein lies the essential brilliance of this novel; the reader has been captivated, and actively searches for the impossible escape for the hero to escape alive even after the novel has been closed following this majestically simple ending, focusing all the while on the ‘container’ of Robert Jordan’s body. For as Hemingway stated: "Find what gave you the emotion; what the action was that gave you the excitement. Then write it down making it clear so the reader will see it too and have the same feeling as you had."<sup>44</sup> The writer-reader dynamic is thus perfectly encapsulated by Hemingway’s words, and indeed by his great war novel set in Spain.

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<sup>44</sup> "A Case of Identity: Ernest Hemingway". Nobelprize.org. 27 Feb 2011  
[http://nobelprize.org/nobel\\_prizes/literature/laureates/1954/hemingway-article.html](http://nobelprize.org/nobel_prizes/literature/laureates/1954/hemingway-article.html)

#### **4.4 Vladimir Nabokov’s ‘Lolita’**

Amongst the most controversial works to be examined in this doctoral study is Vladimir Nabokov’s novel entitled ‘*Lolita*’. About this work, Rampton (1984: 103) wrote that “*Lolita* began life as a *succès de scandale*. Many bought the latest novel from Paris’s Olympia Press thinking it was pornographic. The British government debated its merits at cabinet level and asked the French to ban its sale.” Thus to its measure of early success and implications at even political levels it must be added that the notion of censorship and even, perhaps, self-censorship was always in the mind of the author, as shall be discussed in the here following sentences. The author Vladimir Nabokov (1899 – 1977) personified cross-cultural influences with his early beginnings writing in Russian, as well as his later change to the English language after the Russian Revolution forced his family to flee first to Europe and then on to America after the arrival of Hitler’s Nazis in power in Germany.

The novel ‘*Lolita*’, published in 1955, was perhaps most decisively what placed the author into the ranks of the leading literary lights of the 20<sup>th</sup> Century, even persuading Edmund White (In Bloom Ed. 1987: 222) to write that: “more glorious and surprising in his metamorphosis than any butterfly he ever stalked, Nabokov, the Russian master, turned himself into a writer in English, the best of the century.”

Whether this was indeed the case remains a matter of taste and individual interpretation, and it is interesting to note the contrast of styles with the more

simple stylistic resonance of Hemingway which has preceded it in this study. But anyhow, the here following analysis wishes not to enter into any such futile debates as to which is essentially the best writer of English in the 20<sup>th</sup> Century, but rather to showcase clearly the cognitive and linguistic tools which Nabokov utilized to construct this fantastically elaborate house of horrors through which so many readers have trodden with dainty feet in the past half century or so. Seen at the time of publishing as a rather risky undertaking because of its overtly controversial subject – that of a grown man becoming obsessed with a young girl, the author himself was entirely aware of the monster (in the form of the main character Humbert Humbert) he was unleashing upon the reading world. In the Museum Reina Sofia of Madrid the exposition ‘Nabokov Butterfly Boxes’ by Barbara Bloom<sup>45</sup> showcased not only the Russian writer’s passion for butterflies, but also his preoccupations about the reader’s reactions to his most controversial novel. The caption of this art work stated: “Nabokov’s diary for September 16-19, 1954...He still planned to publish the book pseudonymously and was apprehensive that it might be found.”

This entry might seem superfluous to the modern reader accustomed to much more ‘pornographic’ works of art and entertainment in the public sphere, but Nabokov indeed portrays the writer’s editing stage (wave 3) as one in which the publisher’s input and finally the reader’s reactions play an important role. In the end it was fortunate indeed for the writer that he did publish the work under his own name, for much of his literary reputation was to be built upon it. The impact

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<sup>45</sup> See appendix 5: picture taken on the 28<sup>th</sup> of November 2010.

upon the prototype reader, and the cognitive and linguistic mechanisms used to implement this will now be discussed.

#### 4.4.1. The title: Laying the cognitive foundations

The title chosen by Nabokov is essentially one of utmost importance; but the reader does not know this yet. However, can this really be the case? A novel of such cross-cultural magnitude and a name of such grandiose repercussions as ‘*Lolita*’ can surely not pretend to have the same cognitive impact upon a reader now as was the case in the year 1955, when the first Olympia Press copies were sold in Paris. Thus the reader’s predisposition towards both title and book would seem to take on an important role in the assessment and receptive intake of the title. Certainly, the publisher (wave 4) plays an important role in this regard, considering that they possess the final say as to the title, front cover picture, back cover of the book and in many cases the advertisement and promotion of the book<sup>46</sup>.

Which impact, then, does the title ‘*Lolita*’ have upon the prototype reader? The answer is very much related, surely, to the previously mentioned predisposition towards the title. Much has been heard of ‘*Lolita*’ in the past half century, turning it into an authentic classic of 20<sup>th</sup> Century literature and making the name of the title become associated with certain cognitive associations even before picking up

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<sup>46</sup> As can be seen in appendix 2, the publisher interview with Andy Smart conducted for this doctoral study.

the book. Thus the prototype reader was already familiar with the expected content of the novel and was given the impression of an overwhelming focus on the young girl who forms the heartbeat of the storyline. A one word title suggests this focus forcibly. And a name in the title indicates that this is a character-centred novel. Subsequent re-readings may heighten the impression of the main character’s fanatical obsession with the girl of the same name in the novel. And it is perhaps exactly this which the author intends to embed in the reader’s mind from the very beginning: there is only one love for Humbert Humbert, as twisted and immoral as it may be. On many of the front covers seen (in appendix 4) in the Museum Reina Sofía exhibition in Madrid, the front cover also contains a picture of a young girl, often seductively dressed. The reader is thus entirely focused on the girl called ‘Lolita’. This is the cognitive intention of the author, without much room for doubt, and also of his narrator, whom we are to meet shortly, in the beginning of the novel which shall now be analyzed.

#### 4.4.2. The Beginning

The abovementioned prototype reader’s cognitive focus on the girl called ‘Lolita’ is at first confirmed in the first word of the foreword. Rather fittingly, the second sentence begins with the suitably disarming name ‘Humbert Humbert’, and the reader is thus directly acquainted with the two most important personas of the

novel. But the reader also finds out in the foreword that Humbert has died in legal captivity, that his crime is one which some 12 % of American men “enjoy yearly, in one way or another” (Nabokov 2006: 3), and that “a great work of art is of course always original, and thus by its very nature should come as a more or less shocking surprise.” (Nabokov 2006: 3) The defense of Humbert Humbert has already begun. The prototype reader is aware that the fictional author of the foreword, one John Ray Jr., is already beginning to lay the scene for the arrival of the dead – and yet mesmerizingly alive – hero of the novel, both despicable and all the more wondrous for attempting an impossible defense of his abject actions. Thus in terms of the writer-reader dynamic, the reader is offered a first glimpse into the various key aspects of the novel to follow: that Lolita and Humbert Humbert are the main characters, that the latter has committed a seemingly unspeakable crime and was to be judged for it but died a few days before his trial, and that a morally shocking account is to follow.

Does the reader then put down the book because of this shocking account which is to follow? Certainly not. The writer has both created a safety net to protect himself from the scandalous worldly input which was to follow on from the novel, and also successfully captured the cognitive attention of the reader, hooked it indeed as a fisherman does a writhing fish, and the receptive cognitive attention is transferred rapidly on to Part One of the novel: the authentic beginning. But, before moving on to this analysis, it is timely to point out here the author’s cognitive intentions in placing this foreword into the novel. Firstly, it must be said that the above mentioned transfer of the reader’s cognitive attention

from the title through the foreword and into the beginning proper has been impeccably done through the writer’s choice of the fictional author and editor John Ray Jr., who serves to instill a sense of moral authority which the author may have been in danger of losing in the reader’s mind. This is only natural. A book which the reader now knows (from a combination of worldwide literary reputation, publisher’s promotional work, title page and back cover) is to be about a man who enters in a relationship with a young girl can have a revealing effect on the reader’s mind. Thus cue John Ray Jr.’s moral stance in his last sentence of the short foreword: “Lolita should make all of us – parents, social workers, educators – apply ourselves with greater vigilance and vision to the task of bringing up a better generation in a safer world.” This almost ironically sounding moralizing sentence serves to showcase the author’s cognitive intentions in writing this foreword. As we have seen, Nabokov toyed with the idea of publishing ‘*Lolita*’ with a pseudonym, and the use of John Ray Jr., may even be interpreted as a weakened version of such a usage. Essentially, the foreword is giving the reader the educated plea to give the now dead pervert a chance to defend himself. And judging by the progression of the reader to the following first page of Part One of ‘*Lolita*’, that chance is surprisingly granted, and then devastatingly implemented by the poet-pervert himself.

Thus the first lines of the novel – written by Humbert Humbert in person – are delightfully decorative and disarmingly honest (Nabokov 2006: 7): “Lolita, light of my life, fire of my loins. My sin, my soul. Lo-lee-ta: the top of the tongue taking a trip of three steps down the palate to tap, at three, on the teeth. Lo. Lee.

Ta.” Some pervert, indeed some murderer – as Humbert amicably throws in for good measure a few lines later (“You can always count on a murderer for a fancy prose style”: Nabokov 2006: 7). There is no greater sense of stylistic resonance and poetic beauty than this to contrast with the prototype reader’s expectations of the monster who has thrown himself upon a defenseless little girl, and murdered somebody. The alliteration which Nabokov was so fond of lends this opening paragraph a sense of a lullaby, a real love story, a romance on par with the greatest in literary history, as can be seen from table 15 below. But confronted with the impossibility of a romance between a little girl and a grown man, the prototype reader rejects this amorous outburst as that of a madman, a crazed pervert in his final throes of remembered ecstasy.

Indeed, when Humbert addresses the “Ladies and gentlemen of the jury” in paragraph three of the opening page, the reader is reminded forcefully that this is indeed a self-defense of the jailed Humbert – written under observation as he later, regretfully, informs us. So in the face of this defense of a pervert, the reader attempts to remain morally defiant despite this poetic prose and the fantastic resonance it leaves in the mind. Thus Nabokov has brought about his opening salvo of cognitive impact in the writer-reader dynamic. As Bloom (1987: 1) fittingly writes: “Where Nabokov can hardly be overpraised is in his achievement as a stylist.” The dreamy alliteration of the first paragraph is a linguistic choice which the writer purposefully places in conjunction with the focus of the title to introduce in the reader’s mind the difficulty of the jury’s task. For now the reader

has effectively been transformed into a member of the jury, by picking up the book in the first place and passing the morally acceptable barrier of the foreword.

Table 15: Use of alliteration in opening paragraph of ‘Lolita’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	Alliteration	Possible feedback from publisher, critics and readers.	(Nabokov 2006: 7): “Lolita, light of my life, fire of my loins. My sin, my soul. Lo-lee-ta: the top of the tongue taking a trip of three steps down the palate to tap, at three, on the teeth. Lo. Lee. Ta.”	Create doubts in the reader’ mind as to the overwhelming notion of guilt which the reader brings into the reading.	Well-documented passion for alliteration in his poetic writing style after moving to USA and beginning to write in English.
Reader (receptive)	Alliteration	Sense of moral dilemma as a result of poetic resonance of a child molester and murderer; reader transformed into member of jury.	-	-	Prior knowledge of content of book in which a grown man enters into an entirely illegal relationship with a young girl.

After this entirely creative, brief and all the more effective opening salvo of Lolita adoration, the author moves then on to a somewhat more traditional opening of introducing Humbert’s upbringing and familiar background. In terms of variation from the standard of the procedural schemas involved in reading a novel, both the

foreword by a fictional author and the two-paragraph alliterative adoration of Lolita can be seen as heightened examples of writer creativity, taking the reader out of the domain of the normal beginning of a novel, and even revealing already that the perverted Humbert has died in prison. Still, as Humbert asks the reader to “Look at this tangle of thorns” (Nabokov 2006: 7) and begins to talk of his father’s “salad of racial genes”, the reader is fascinated enough by the variation from the standard to proceed reading the defense of the pervert Humbert Humbert. Thus the ‘tangle’ and ‘salad’ serve to illustrate both Humbert’s inner turmoil as to his actions, as well as the reader’s equally tumultuous reactions to the pervert-poet’s opening confession that he indeed loved Lolita. For this is the shocking admission which can be deduced from the opening page: Humbert indeed believes that he loved Lolita, rather than being a simple pervert taking advantage of an innocent ‘girl-child’, as he refers to her.

The author has thus placed the confession of love at a strategically important point: the beginning offers the qualification of the controversy which the novel unleashed. Humbert has committed an atrocious crime; yes this cannot be doubted. But by own admission he has done so out of love. The critical reader must then, in a fascinating implication of the writer-reader dynamic, begin an altogether new cognitive thought process: namely, to question whether Humbert’s profession of love for Lolita is indeed simply a well-calculated defense for his actions, attempting to fool the jury member that the reader has become. A new, related cognitive thought process is thus unleashed as a result of the writer’s linguistic and cognitive choices. As Thomas R. Frosch writes (In Ed. Bloom

1987: 133): “Humbert’s chief line of defence is that he is no ‘brutal scoundrel’ but a poet.” And not only that, but a poet in love. This then, is the prototype reader’s moral dilemma as the novel progresses, and as the first meeting of the two main characters draws ever nearer.

First, though, the writer employs an entire series of references to archetypal metaphors (especially with reference to the following two contrasts: light – dark / heat – cold) in order to symbolize the build-up of passion in Humbert’s mind throughout the more conventional procedural part of the beginning of *Lolita*. The introduction to Humbert’s life story thus leads to a glaring, heated crescendo in the first sighting of Lolita (which shall be discussed in the ‘Progression’ section to follow here). In the continuous build-up to this temporary climax, the reader is vividly shown the narrator’s passion for Lolita. These allusions to archetypal metaphors begin in the very first line (Nabokov 2006: 7): “Light of my life, fire of my loins”. This latter basic metaphor which contains the creative spaces of ‘lust’ and ‘heat’ is indeed to play a major part in the unfolding ‘love affair’. But first this choice of metaphor has the effect on the prototype reader of insinuating that Lolita was indeed the entire purpose of the narrator’s life, and only thereafter was she the sexual attraction to which he so lewdly succumbed.

Again, the author, through the extended hand which is the narrator’s highly metaphorical resonance, chooses his linguistic mechanisms very astutely to begin from the very first paragraph to play with the reader’s mind. Humbert’s guilt is constantly displayed and then excused. The choice of metaphor seems to indicate the following in terms of Nabokov’s cognitive intentions: Yes, Lolita was the

forbidden sexual attraction to which Humbert succumbed, but she was firstly the light which gave meaning to his life. Can we entirely condemn the already condemned (and dead) narrator in such circumstances? The basic human association of light with goodness and dark with evil is taken up by the author in innovative fashion here, because it serves both to unite the reader to the narrator's standpoint in as much as this is possible when dealing with a perverted criminal, and also to make Humbert keep at least some of his humanity through this association with light and goodness. The extension of this archetypal metaphor continues throughout the novel to great effect, always playing with the guilt aspect and challenging the reader's ability to condemn an already condemned man. Consider thus the “pocket of warmth in the darkest past” (Nabokov 2006: 8) with which the narrator refers to the death of his mother at an early age, and which serves to emphasize the darkness of Humbert's past. It is of course this past with which he attempts to justify his actions. Only a ‘pocket’ of motherly warmth was afforded to our narrator. Was it this, perhaps, which set the time bomb of perversion ticking? The prototype reader wonders. But the narrator simply continues, leaving that hinted glimmer of ‘warmth’ as to the possible source of the later ‘fire’ of perverted lust effortlessly behind to move on to another issue altogether: the supposed origin of Humbert's attraction to “nymphets”, as our anti-hero refers to them.

Indeed, “the sun of my infancy had set” (Nabokov 2006: 8), rather early at that, hinting in the reader's pre-disposed mind at first signs of later perversions. The encounter with his youth love ‘Annabel’ at the seaside is entirely well-placed

by the accused to liberate himself of some of the blame, with the main difference to the later pursuit of Lolita being that Humbert was indeed the same age as the girl at the time. This projection on the part of the narrator carries across to blend the mental spaces of ‘love’ and ‘young girl’, but not the reality of the ageing protagonist himself and the difference in ages which this produces. Thus there is a process of selective blending here on the part of the narrator, beautifully insinuated by the author, but the prototype reader is left painfully aware of the reality in which a grown man is explaining his love for a young girl. Indeed, in Humbert’s supposedly sick mind, the two girls seem almost a natural consequence of each other. The difference in age of Humbert is of course mentioned by the narrator himself, and explicitly so, but in the hope that the reader shall note no mental differentiation on the part of the accused. This is achieved through the same method: the interplay of dark and light in word choice and resonance. Hence in the build-up to the thwarted love scene between Humbert and his pre-Lolita, there is again interplay between darkness and light: “through the darkness and the tender trees we could see the arabesques of lighted windows” (Nabokov 2006: 13). Moments later Annabel comes “darkly near and let me feed on her open mouth”. In both cases darkness is associated with sin; firstly by the ‘lighted windows’ which signify the supposed safety from sin of Annabel’s house, and then by the darkness of her approaching mouth.

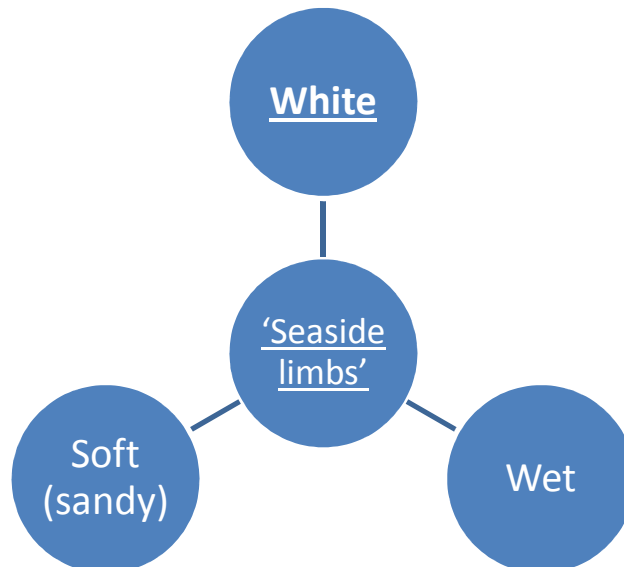
A hint of the later sinful encounter is implanted in the reader’s mind.

Interestingly, the later encounters are marked, (as shall become evident in the progression section to follow) by a focus on light rather than on the darkness of

sin. But as yet there is no illegality involved in Humbert’s amorous exploits. This is likely the writer’s cognitive purpose of this ‘backstory’ which leads to the first meeting with Lolita: to contrast these early experiences with Humbert’s later crimes.

The narrator’s steady build-up of metaphorical imagery continues steadily. In the wonderful and entirely unusual (variation from the standard at wave 2, and / or 3) word composition “seaside limbs” (Nabokov 2006: 14), the reader may interpret the whiteness of sand as being the relevant information to be garnered from the creative space of ‘seaside’. This activation of a variety of possible cognitive associations is displayed in figure 6 below.

Figure 6: The prototype reader’s possible creative space correlates of ‘seaside’ in relation with ‘limbs’



The three options of possible mental activations in the prototype reader’s mind shown above in figure 6 can be also be displayed as shown below in table 16 in terms of the creative activation pattern of Hogan (2003) which was discussed in the Literary Review. What Hogan applied to the writer is here applied to the reader, showcasing the extent to which creativity is also evident in the reading process, especially if prompted by the writer. While the reader finds the prototype first two activations as being ‘wet’ and ‘soft’, the third activation of ‘white’ is then chosen as the reader takes into account the twin inputs of storyline and context.

**Table 16: Mental activation pattern: Creative Activation (Adapted from Hogan: 2003)**

Note: Hypothetical activation threshold pushed below 1 and flexible

<i>Input node</i>	<i>Output node</i>	<i>Activation strength</i>
Seaside + Limbs	Wet	+ 0.9
Seaside + Limbs	Soft (sandy)	+ 0.85
<b>Seaside + Limbs</b>	<b>White</b>	+ 0.8

This contextual reader choice is confirmed by the following activations with regards to the color of skin. Of his student days Humbert retains the imagery of the (Nabokov 2006: 14) “pale pubescent girls with matted eyelashes”. The white, lightness of the limbs and elusive pubescent girls emphasize in the reader’s mind

not only the purity of these young girls, but also the darkness of Humbert’s intentions. These dark intentions are vividly visualized by the reader when Humbert describes the “bubble of hot poison in your loins and a super-voluptuous flame permanently aglow in your subtle spine”, referring to the prototypical child-molester, but employing the personal pronoun which again involves the reader in an entirely direct and uncompromising manner. The “loins” and the “flame” also provide a direct cognitive link back to the opening sentence of the novel, not allowing the reader for a moment to forget about the girl with whom the narrator became so infatuated during his lifetime.

But not only is there a steady increase of dramatic tension in the prototype reader’s mind as a result of this word choice related to archetypal metaphors of heat and light, but the placement of these is also of absolute importance. Thus when the “hell furnace of localized lust for every passing nymphet whom as a law-abiding poltroon I never dared approach” (Nabokov 2006: 22) is described with a return to the extension of the basic metaphor (LUST IS HEAT), it is placed shortly before Humbert’s final attempt to avert his perversion by resorting first to attempting to find a solution in young prostitutes and then in marriage. Both are unsuccessful attempts. And by his own use of the moralizing word choice ‘hell’, the narrator virtually invites the reader to condemn him to just such a place because of his later deeds (but we must keep on reading to find out about them). In each case of metaphorical heatedness, the writer makes a key point in the progression of and to Humbert’s final, “monstrous” perversion.

This final stage in the narrator’s conversion from a law-abiding citizen in Paris to a perverted child-abuser in rural America shall be discussed in the here following section. The progression of the novel tackles then the prototype reader’s main questions which have been unfolding throughout this moving, moved beginning: what was the exact nature of Humbert’s relationship with Lolita, and whom did he murder? Both questions are progressively tackled by the author through the use of cognitive hints placed throughout the reading experience, and occur in concordance with the use of the archetypal metaphors discussed above to create dramatic tension and heighten reader interest in the unfolding plot. But, as Barreras Gómez (2005: 41) writes: “Nabokov siempre afirmó su falta de interés por la literatura cuya finalidad es enseñar una lección moral. De hecho, en su obra no aparece este objetivo.” Since Nabokov thus affirmed his lack of interest in literature whose final was to teach a moral lesson, what then can be the cognitive intentions of the author in placing these archetypal metaphors so prominently throughout the beginning of the novel<sup>47</sup>?

Indeed it is the very concept of a black and white world view which Nabokov seems to be rejecting in his cognitive intentions for writing this novel. Instead, the author asks the reader to become emotionally involved and make a judgment based upon the shades of grey which abound in the real world. But it is a judgment which the reader can’t make. Not yet (ever?). As becomes evident from table 17 below, the repeated usage of this basic metaphor (LUST IS HEAT) in the beginning of *‘Lolita’* then invites the reader to feel the narrator’s dilemma all the

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<sup>47</sup> And as we shall see, also throughout the progression of the novel. For this skillful word-level play with darkness and light, and by extension with the reader’s sense of moral judgment, can be found in the entire lead-up to the decisive moment in which the narrator meets Lolita.

more acutely, because these are very much universal metaphors and features, which serve in the end to emphasize Humbert’s entirely fallible humanity.

Table 17: Use and effect of ‘LUST IS HEAT’ metaphor in beginning of ‘Lolita’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	LUST IS HEAT metaphor.	Possible feedback from publisher, critics and readers.	“hell furnace of localized lust for every passing nymphet whom as a law-abiding poltroon I never dared approach” (Nabokov 2006: 22)	To show shades of grey in black and white morality.	Nabokov rejects notion of literature with ‘morals’.
Reader (receptive)	LUST IS HEAT metaphor.	Feel shameful lust of Humbert on hand of own bodily experiences and makes condemning Humbert more difficult.	-	-	Own experiences of lust being heated.

#### 4.4.3. The progression

With Humbert’s supposedly valiant (is the prototype reader here siding with the narrator already?) efforts to suppress his ‘heated’ desires all failing, the last attempt to save himself from the ‘hell’ he sees himself falling into is his comically described marriage in Paris. The humorous depictions of the moment in which Valeria leaves Humbert for a Russian taxi driver are some of the most entertaining receptive moments of the novel, and include creative word plays such as: “Oh, he was quite a scholar, Mr. Taxovich” (Nabokov 2006: 29), and “(Maximovich! his name suddenly taxies back to me)” (Nabokov 2006: 31). This use of a rather dry sense of humor, expounded through the play of words in the linguistic end product, serves to bring the prototype reader to the side of the narrator ahead of the most crucial stage in the novel. The writer certainly also shows heightened creativity here in providing variations from the standard, in a scene which humorously depicts Humbert’s difference from other human beings. In doing so, Nabokov continues with the aforementioned undertaking to write a novel which effectively is free of a moralizing influence, and rather challenges the reader to make a judgment on the morals of this entirely humorous main character. In terms of the success of Nabokov’s novel in the grander scheme of the writer-reader dynamic, the humorous and entirely witty narrative which Humbert unfolds brings about the charming resonance of this novel. There is nothing more human than failure, after all, and as we shall now see, Humbert’s failure relates directly to his inability to stay away from young girls.

The turning point in this regard is imminent. It is portrayed by Humbert as being the failure of his marriage (which, what a coincidence, was not his own fault, but rather that of his cheating wife! A perfect defense strategy indeed), and Nabokov employs a universal image schema to vividly display this ‘filling up’ of Humbert’s ‘container’ which is his body. Thus, Valeria (Nabokov 2006: 29):

“went on talking – *into* me rather than to me; she poured words into this dignified receptacle with a volubility I had never suspected she had in her.” The ‘container’ of Humbert’s body is thus filled to a brimming point by Valeria’s words, which are empty and useless in that they don’t produce any real emotions within the narrator’s mind and body. Thus even the supposedly serious moment of her leaving him for another man in portrayed in terms of humor and is shown by the author through the image schema ‘container’ as being a case of a ‘receptacle’ becoming filled to a brimming point.

Table 18: Use and effect of ‘container’ image schema in progression of ‘Lolita’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Container’ image schema for Humbert’s body.	Possible feedback from publisher, critics and readers.	(Nabokov 2006: 29): “went on talking – <i>into</i> me rather than to me; she poured words into this dignified receptacle with a volubility I had never suspected she	Provide schematic hints for the reader as to progression of novel (meeting with Lolita) through own bodily experiences (container).	Writer’s possible worldly experience of a specific woman talking to him, as well as fictional specific experiences of how to progress in a narrative.

			had in her.”		
Reader (receptive)	‘Container’ image schema for Humbert’s body.	Showcases the difficulty that Humbert has in dealing with ‘grown’ women who talk into the ‘container’ that is his body. Leads to reader completion of schemas in what might be the natural consequence of this: meeting with Lolita.	-	-	Own experiences of being ‘talked into’ by a woman speaker; positive connotations offset Humbert’s experiences and serve to highlight his difference from the reader.

Thus, although Nabokov does not explicitly state that the ‘container’ of Humbert’s body has been filled to the top, this is not necessary either, since as the literary review of this study has shown: (Branigan 1992: 16) “A perceiver uses a schema to automatically fill in any information that is deemed to be ‘missing’ in the text.” This is what is referred to in the receptive effect upon the reader, where the ‘container’ image schema serves to propel the reader to complete the schemas available and form an expectation of the progression of the story. Hence the there following humorous ‘handing over’ of the wife to the Russian taxi driver is explained in the following terms: (Nabokov 2006: 29) “I can swear that he actually consulted me on such things as her diet, her periods, her wardrobe and the books she had read or should read.”

The prototype reader thus fills in the information deemed to be missing and makes a cognitive connection between the brimming ‘container’ of the narrator and the almost child-like sense of paternal responsibility which Valeria’s new

lover shows for her. Nabokov places this sequence with an ever-present sense of purpose in building the tension as the meeting with Lolita nears. As Lakoff and Turner (1989: 98) found: “Image-schemas can be used to structure both physical scenes and abstract domains.” In this case the main purpose of Nabokov’s use of the image schema ‘container’ may have been more to structure the abstract domain of Humbert’s ‘love’ for Lolita, to which we are shortly to be introduced.

The immediate build-up to this meeting in the narration begins with Humbert’s move across the Atlantic Ocean to the city of New York, of which we are told: (Nabokov 2006: 34) “As I look back on those days, I see them divided tidily into ample light and narrow shade: the light pertaining to the solace of research in palatial libraries, the shade to my excruciating desires and insomnias of which enough has been said.” Here, the light of good is shining upon the ‘solace’ of the lone Humbert doing his research, while the darkness of shade is associated with his continuing desires for young girls. The narrator is thus giving one final reconfirmation of the fact that he knows very well that what he is about to recount with regards to the young girl Lolita is entirely dark and sinful. But the light of ‘goodness’ is shining upon a Humbert in solitude. The reader is thus asked to sympathize with Humbert, for only in solitude can he be in a state of moral decency. And the contradiction here is that no human being, this being the prototype reader’s own experiences which are brought to the reading, can survive being entirely alone. While not excusing the as yet untold tales of perversion to come, Humbert effectively emphasizes his humanity, and by extension Nabokov

continues to employ the metaphorical plays with light and darkness, with heat and cold, to great effect.

Take for example Humbert’s trip to “arctic Canada” (Nabakov 2006: 34)<sup>48</sup>, which serves only to temporarily ‘freeze’ the overflowing ‘container’ of Humbert’s perverted sexual fantasies, a notion encapsulated in the following ironic utterances: “My health improved wonderfully in spite or because of all the fantastic blankness and boredom...No temptations maddened me...Nymphets do not occur in polar regions.” (Nabakov 2006: 34). Through the reading of this passage in the linguistic end product (wave 5), the prototype reader is left painfully aware of the fact that ‘nymphets’ in fact occur in no other regions apart from the icy wilderness of the narrator’s mind. But the “twenty months of cold labor” (Nabokov 2006: 36) to which the narrator condemned himself – note again the delicious inclusion of the arctic iciness which the prototype reader sees as necessary to ‘cool off’ Humbert’s heated perversions - are soon to come to an end. They are to be followed almost immediately by the arrival of Lolita in the narrative, showcasing the writer’s exquisite sense of timing in contrasting the “cold labor” of the Canadian arctic with the “warm pleasure” which is to follow. But first Nabokov skillfully places another milestone in this authentic riddle which the reader must solve during the reading experience. The entire paragraph following his return “to civilization” (Nabokov 2006: 36) is dedicated to recounting how much enjoyment Humbert took from leading on and inventing

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<sup>48</sup> Which is the subject of the intertextual article entitled “Humbert’s Arctic Adventures” by Monica Manolescu-Oancea:  
[http://0-muse.jhu.edu.cisne.sim.ucm.es/journals/nabokov\\_studies/v011/11.manolescu-oancea.html](http://0-muse.jhu.edu.cisne.sim.ucm.es/journals/nabokov_studies/v011/11.manolescu-oancea.html)

episodes for various psychiatrists who treated him. The prototype reader then wonders: is this what is happening here too? Is the narrator manipulating the evidence so cleverly that the seduction of a young girl seems a perfectly normal, sane thing for a grown man to attempt? Nabokov thus invites the reader to mistrust the veracity of his narrator just at the most crucial moment of the novel up to that point. In doing so, he creates a fascinating mental game for the reader which Barreras Gómez (2005: 44) explains in the following terms: “Este autor consideraba que escribir era un juego intelectual que creaba para sus lectores”<sup>49</sup>.

In the following way begins then the first encounter between Humbert and Lolita (Nabokov 2006: 41):

“a blue sea-wave swelled under my heart and, from a mat in a pool of sun, half-naked, kneeling, turning about on her knees, there was my Riviera love peering at me over dark glasses. It was the same child – the same frail, honey-hued shoulders, the same silky supple bare back, the same chestnut head of hair.”

From the very outset of this paragraph, the emphasis is placed by the narrator on a notion of re-encounter rather than first encounter: Lolita happened then *because* of Annabel. Or so the reader is invited to think in the intellectual game created by Nabokov. The ‘blue sea-wave’ which ‘swelled under my heart’ is not only a direct cognitive reference to the ‘seaside limbs’ described so creatively earlier, but also

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<sup>49</sup> My translation: “This author considered writing to be an intellectual game which he created for his readers”.

provides a continuation of the brimming full ‘container’ of Humbert’s body, which has been filling up with successive amorous failures and is finally brought to a swelling overflow by the blue wave which Lolita unleashes. Again, as Branigan (1992: 16) found, the perceiver (the prototype reader in this case, at wave 6) is using the schema to complete the information which the writer has skillfully brought together at this critical point in the novel. Here, dramatic tension finally reaches a rushing crescendo, and the container of Humbert’s body is brought to ‘overflow’ after the filling it experienced through Valeria’s incessant talk and the frozen moment it experienced in the Canadian arctic. Not to be missing from the author’s repertoire here, of course, is the reference to the ‘pool of sun’ in which Lolita lay, ‘peering at me over dark glasses’.

The author’s choice of words is entirely illuminating here: Lolita represents brightness in contrast to the earlier darkness which has been discussed previously. And according to the narrator she is essentially the centre of Humbert’s life already at this stage – for the reader knows that the sun is the centre of the universe. Implemented in this fashion directly after Humbert’s icy arctic exile, the contrast cannot be more stark and also more effective. For it is into this ‘pool of sun’ which the overflowing passion of the ‘container’ that is Humbert’s body is to flow. The unison of the two ‘containers’ of their bodies which shall be examined later is already insinuated here by Nabokov. Finally, the child’s glance is associated with sin as a result of the ‘dark glasses’, all of which serve to highlight Humbert’s defense strategy: he is indeed not to blame at all for the blinding ‘pool’ of temptation into which his suppressed passions have so unwillingly been

diverted. Humbert calls the first meeting a “sun-shot moment” (Nabokov 2006: 42) in which he took in every detail of her “bright beauty”, both again emphasizing the central nature of Lolita to the novel, signaled cognitively beforehand both through the title and the novel’s opening sentence.

Any reader doubts as to the narrator’s manipulative intentions have been heightened in this first encounter with Lolita, which is fascinatingly described by the author, much in line with his idea of toying with the reader’s mind and emotions during the reading experience and thereby effectively marking his successful input in the writer-reader dynamic. It is not, however, only in terms of word choice and linguistic choices in which Nabokov astutely influences the reader’s mind. There are also considerations of form, such as the choice of a diary format for the duration of some twenty pages (Nabokov 2006: 43-63). These pages recount his elusive hunt for the young girl through the house in which he is now boarding thanks to the mother of Lolita, who has taken a clear liking to him. Indeed this entire section, as well as the play-like format used to describe the Sunday meeting between Humbert and Lolita immediately thereafter, can be seen as more relevant to a young teenager than an adult like Humbert Humbert with supposedly academic background. The possibility of a ‘school play’ in the prototype reader’s mind renders the link back to the young girl who is at the center of Humbert’s universe. This subtle form (or genre) based emphasis on the age divide between the two is apparent in this prototype reader’s mind, and also serves Nabokov in the plot development, as we shall shortly see. In any case, the

ready switch between forms heightens the reader’s interest and the overall readability of the novel through a variation from the standard tone of narration.

Nabokov’s heightened writing creativity (at wave 2 and / or 3) is utilized further to great effect when he reverts to the imagery of the “Eden-red apple” of Adam and Eve in the ‘play scene’ (Nabokov 2006: 63): “She grasped it and bit into it, and my heart was like snow under thin crimson skin”. Here, the prototype reader makes the cognitive connection back to the arctic exile of Humbert.

Shortly after this cognitive referral back to the progression of the novel, Humbert’s “happy hand crept up her sunny leg as far as the shadow of decency allowed” (Nabokov 2006: 66). The contrast cannot be greater between the earlier light of the first meeting and the dark creeping ‘shadow’ of perversion here, and interestingly (and predictably?) the narrator depicts Lolita as being the one responsible for biting into the ‘apple of sin’, when indeed Humbert Humbert’s poor heart was still as frozen as it was in the arctic. The critical (prototype) reader wonders. Is left skeptical. Is this narration just Humbert’s ‘play’ for the reader who is now effectively a member of his eternal (post-death) jury?

We must press on in the reading process to find out. And meanwhile Nabokov throws in first repeated hints of the later tragedy to befall the anti-hero: one ‘Dr. Quilty’ (note the simple effect of replacing the Q with a G) is mentioned as a local dentist whom Lolita’s mother Haze suggests to him when he reacts painfully to the idea of sending Lolita to a summer camp, the aptly entitled ‘Camp Q’. But, as in any successful narrative, Nabokov leaves the reader no time to dwell upon these cognitive hints which will serve the writer for later activation in Part Two of

the novel. Instead, “the red sun of desire and decision rose higher and higher”, (Nabokov 2006: 79) as Nabokov continues to keep the reader inundated with a sense of Humbert’s increasingly heated and perverted passion: in quick succession, Humbert marries Haze, and then plots how best to kill her in order to have his way with his new ‘daughter’.

The prototype reader is repulsed. But the narrative speeds up at such a frenzied pace that there is no time to think and moralize about the monstrous Humbert’s hideous plan. First, his plan to drown Haze in a local lake is not successful because he can’t bring himself to take the deadly action (Nabokov 2006: 97): “The fatal gesture passed like the tail of a falling star across the blackness of the contemplated crime.” Here, in another beautifully resonant imagery related to the aforementioned archetypal metaphor, the darkness of a crime is emphasized through the fading sparkle of his perversion-inspired plot. Then, fate turns entirely timely (some critics say too timely) murderer for Humbert (Nabokov 2006: 109) when an onrushing truck kills his new wife just at the moment in which she has discovered his perverted aforementioned diary and the terrible implications this would have upon his ‘relationship’ with Lolita. This speeding truck and swerving drama brings the reader entirely rapidly to the climax of Part One, where the two main characters introduced so immediately in the foreword are suddenly left alone, with each other, in an entirely immoral world.

Thus when Lolita has been picked up from ‘Camp Q’, Humbert pulls over the car and “Lolita positively flowed into my arms” (Nabokov 2006: 127). The aforementioned ‘container’ image schema returns here to great effect. In the

earlier ‘play’ like scene with the red apple, Humbert had satisfied himself, supposedly without her knowledge, and brought the ‘container’ to flow over and leak liquid in the form of hot passion. Now, with Lolita’s mother dead, Humbert’s last mental obstacle has been overcome and this is symbolized by the ‘flowing’ together of the two bodies of Lolita and Humbert. While the earlier flow of words into his body from his first wife Valeria was portrayed in an entirely negative manner, laced with humor and irony, this flowing of Lolita into Humbert’s body is prefixed with the word choice ‘positively’ by Nabokov, showcasing (as can be seen in table 19 below) the author’s intentions in bringing together, finally and ecstatically, the two ‘containers’ of the bodies of the two main characters.

Table 19: Use of ‘container’ image schema in sexual scenes of ‘Lolita’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Container’ Image schema for sexual scenes between Humbert and Lolita.	Possible feedback from publisher, critics and readers.	“Lolita positively flowed into my arms” (Nabokov 2006: 127).	Play games with reader’s mind in order to heighten reader experience.	Nabokov rejects notion of literature and art with ‘morals’.
Reader (receptive)	‘Container’ Image schema for sexual scenes between Humbert and Lolita.	Realization that sexual union of two main characters is being blamed by narrator on Lolita.	-	-	Own experiences of lust being a ‘flowing’ together of bodily ‘containers’

As can be seen from table 19 above, the direction of the flowing (which is initiated on Lolita’s part, with Humbert acting only as the ‘receiver’) serves to

heighten the narrator’s emphasis on his own ‘innocence’, and effectively demonstrates Nabokov’s cognitive intentions of turning the reading experience in the aforementioned ‘intellectual game’. Part of the reader’s main questions as to the plot are thus resolved at the end of Part One: the nature of Humbert’s relationship with Lolita becomes entirely clear. The “tiny sips” (Nabokov 2006: 127) which Humbert took from the lips of Lolita’s ‘container’ in supposed moderation in the car are replaced soon thereafter by the heated description of their two bodies joining together in the act of sexual intercourse (Nabokov 2006: 152): “There would have been a fire opal dissolving within a ripple-ringed pool, a last throb, a last dab of color, stinging red, smarting pink, a sigh, a wincing child.” The poetic fumes emitted by the writer’s description here hardly suffices to take away any of the shocking receptive effects of this passage on the prototype reader. The ‘wincing child’ placed at the end certainly leaves no room for interpretation. If, as Rampton (1984: 103) expounded, Nabokov was intent on keeping vulgarity out of his novels, there is certainly a painful lack of moral judgment involved here. The reader is confronted with the literal ‘dissolving within’ each other of two bodies – that of a grown man and that of a young girl. The two ‘containers’ (see again table 19 above) have been merged at this stage in the novel, and Humbert’s ‘fire’ of perverted passion has been doused, albeit momentarily, by the ‘pool’ of Lolita’s body. One part of the essential reader question has been solved. Humbert and Lolita are indeed “technically lovers” (Nabokov 2006: 150); but how will this immoral affair end, and why is Humbert a condemned murderer? These latter two questions shall be discussed in the here following part of the

analysis, which deals with the lengthy conclusion to the novel which is essentially Part Two of *Lolita*.

#### 4.4.4. Conclusion

Part Two of *Lolita* begins in a suitably downbeat resonance in the prototype reader's receptive system, as the latest in a series of roadside motels at which Humbert and Lolita stop has “yellow window shades pulled down to create a morning illusion of Venice and sunshine when actually it was Pennsylvania and rain.” (Nabokov 2006: 163). This provides an ample reflection not just of the prototype reader's emotions towards the just succeeded events at the end of Part One, but also hints at the ‘illusion’ which Humbert has created in the novel up to this point. The attention shifts from the ‘containers’ of Humbert and Lolita's bodies to the ‘containers’ which are the ever-changing motels which they stay in and the car which takes them from one place to another. Essentially, Nabokov portrays a world in transit through the use of such universal image schemas; the car becoming the vehicle taking the two on their ‘path’ to an unattainable future together, the string of motels stressing the temporary nature of their relationship – with a check-out always an eventual necessity.

The reader's mood is reflected in Humbert's increasingly downbeat observations in Part Two, building the dramatic effects of the eventual revelation of Humbert's murderous crime. But the reader cannot know this yet, and is instead trapped in the moral dilemma of Humbert's exploitation of the young girl. This is described by the narrator in

a mixture of forbidden French-speckled bliss and fiery remorse (Nabokov 2006: 188): “For there is no other bliss on earth comparable to that of fondling a nymphet. It is *hors concours*, that bliss, it belongs to another class, another plane of sensitivity.” The use of French here provides a cross-cultural reference point, just as we have seen in the analysis of Hemingway (section 4.3), and mirrors in the eyes of Frosch (In Bloom Ed., 1987: 134) the fact that “the geographic, linguistic and temporal aspects of Humbert’s dislocation are often related to Nabokov’s exile.”

More on the writer’s worldly input will follow a little later in this analysis. For now it is important to note that in the narrative itself, moments later Humbert confesses that: “I still dwelled deep in my elected paradise – a paradise whose skies were the color of hell-flames – but still a paradise.” (Nabokov 2006: 188). The writer’s use of contrast here makes for an entirely vivid reading experience; the ‘deep’ dwelling brings back the imagery of the two ‘containers’ uniting in a forbidden sexual act, whilst also carrying the connotation of bodily directions associating ‘deep’ with ‘down’ and thereby ‘hell’ (see table 20 below).

Table 20: Use of ‘paradise’ / ‘hell’ metaphoric contrast in conclusion of ‘Lolita’

<b><u>Actor</u></b>	<b><u>Linguistic device</u></b>	<b><u>Receptive effect</u></b>	<b><u>Productive choice</u></b>	<b><u>Cognitive intention</u></b>	<b><u>Worldly input</u></b>
Writer (creative)	‘Paradise is hell’ metaphoric contrast.	Possible feedback from publisher, critics and readers.	“I still dwelled deep in my elected paradise – a paradise whose skies were the color of hell-flames – but	Creates difficult moral decision for eternal ‘jury member’ that reader has become throughout the	Nabokov rejects notion of literature with ‘morals’.

			still a paradise.” (Nabokov 2006: 188).	novel.	
Reader (receptive)	‘Paradise is hell’ metaphoric contrast.	Displays to reader that narrator is well aware of the despicable nature of his ‘paradise’, but leaving judgment to the reader of whether this condemns Humbert to depths of ‘hell’.	-	-	Own experiences of love feeling ‘paradisiacal’.

The receptive mental associations of ‘depth’ activate the bodily direction image schema, and is thereafter immediately contrasted with the highness of the ‘skies’. The author’s cognitive intentions in using this highly moralizing metaphoric contrast of hell and paradise are confirmed by the fact that these skies are described as being the color of ‘hell-flames’. A direct contrast including the bodily direction image schemas is activated here in the reader’s mind, highlighting the difficulty of condemning the dead criminal. For Humbert is essentially conceding that his sexual actions with a young girl are worthy of moral condemnation, only to utter a hushed ‘but’ thereafter in the form of his revelation that these ‘hell-flames’ of passion are indeed his paradise. Can we condemn such utter, perverted madness? The prototype reader is made to feel not only Humbert’s hellish dilemma, but also given a real sense of the fact that he is actually trapped within the confines of his perverted desires – trapped within those very confines of ever-changing motel and ever-present car ‘containers’ within which Nabokov drives the novel to its final conclusion.

In this regard it is relevant to examine the author’s authentic resonance in describing this hellish journey through rural America, which is only once interrupted as Humbert attempts to settle down with Lolita and actually sends her to a local school. The author’s (wave 1) worldly input plays a crucial part in his construction of this setting of rural America and its various motels and hotels, as Andrew Field pointed out in his extensive writing on the author: (Field 1977: 238) “Nabokov acknowledges that the impressions of motel-America which began then contributed significantly to the genesis of his most famous novel.” Furthermore, Field pointed out that Nabokov was also travelling these motel routes with a young child – in this case his six year old son – and that he was an expert tennis player who would play with the local professionals on his various lecture stops throughout the USA. This former worldly input brings the almost depressing sense of realistic authenticity into Humbert’s descriptions of travelling with and caring for a young girl, while the latter worldly input flows effortlessly into one of the most magical scenes of the somewhat more downbeat resonance to be found in Part Two, in which Lolita is described playing tennis. When the reader finds in the linguistic end product (wave 5) the “small globe suspended so high in the zenith of the powerful and graceful cosmos she had created for the express purpose of falling upon it with a clean resounding crack of her golden whip” (Nabokov 2006: 263) , the writer utilizes his expertise in the worldly sphere of tennis to transport the reader steadily onwards to the crushing conclusion. This conclusion is insinuated in the reader’s mind in that Lolita has now ‘created’ a ‘cosmos’ upon which she will fall upon, hinting at imminent independence. Furthermore, the narrator again seems to be pushing part of the blame for this illegal

relationship onto Lolita’s side of the court in that she had created something for an ‘express purpose’, thereby highlighting her own decision-making capacities.

That express purpose is soon put to the test, as the reader is introduced to a new reality in this twisted relationship the following terms (Nabokov 2006: 280): “A bright voice informed me that yes, everything was fine, my daughter had checked out the day before, around two, her uncle, Mr. Gustave, had called for her”. The check-out becomes symbolic here in that Lolita, at last in a somewhat fixed ‘container’ of a building, has taken the initiative and made an escape from Humbert’s perverted grasp, although it shall not be for the better because she has escaped with the queer ‘Quilty’ character that Nabokov has let flitter through the previous pages with a subtly increasing intensity. Lolita’s checking out of the hospital indeed also signals the end of their sexual relationship, bringing about a final moving apart of the two ‘containers’ which are their bodies, and moving into focus the very last reader question: who will Humbert kill?

Much has been written on the finale of the novel, just as on every other part of it, on Clare Quilty’s supposedly being the double of Humbert, and that “Humbert’s murder of Quilty is at once the most curious and the least persuasive episode in *Lolita*” (Bloom, Ed., 1987: 3). This may be so, for it is certainly a curious episode, both in Quilty’s seemingly never-ending execution, and in Humbert’s final ‘container’ fusion with Quilty in the following section (Nabokov 2006: 340): “We rolled all over the floor, in each other’s arms, like two huge helpless children. He was naked and goatish under his robe, and I felt suffocated as he rolled over me. I rolled over him. We rolled over me. They rolled over him. We rolled over us.” This dryly humorous description employs personal pronouns to both join Humbert to Quilty, and also to distance our narrator from the fellow child

abuser just before his final bloody end. But in the end both have to face death and the prototype reader’s condemnation; in having taken advantage of the ‘helpless children’ they are likened to in this passage, they have essentially condemned themselves.

And this is the greatest indicator of the fascinating intellectual game the writer Nabokov created so masterfully. In the end, both Quilty and more decisively Humbert himself are condemned by their own actions; and the narrator indeed professes on the last page that he would give himself 35 years for rape, but drop all other charges. The prototype reader may or may not agree with this judgment, according to the emotional inversion which ‘*Lolita*’ has caused in the previous, entirely controversial and yet delightfully poetic pages. As Rampton (1984: 120) fittingly wrote, “*Lolita* itself, despite its current reputation, constitutes Nabokov’s admission that the reader is not only there to be teased and tyrannized but is a vital part of a cooperative enterprise.” Indeed, Nabokov’s cognitive intentions have become fittingly clear in this regard. To bring the reader full circle in the cognitive reception of title, foreword, first line and last line, the latter sounds in this way both sadly possessive and touchingly ablaze with the only sun that would ever really (truly?) shine in Humbert’s life: “And this is the only immortality you and I may share, my *Lolita*.” (Nabokov 2006: 352). To the very end, Humbert remains an enigmatically mad, maddening, maddened hero to the prototype reader, and Nabokov is ever the subtly manipulating manager of the writer-reader dynamic. *Lolita*, indeed. For who else to bring the sun down on this setting novel, but *Lolita*?

#### **4.5. Gabriel García Márquez: ‘One Hundred Years of Solitude’**

The only author of the quintet of literary greats living at the time of the writing of this doctoral study in 2011, Gabriel García Márquez provides a dashing South American touch of literary charisma and worldwide renown. Born in the wonderfully exotic-sounding town of Aracataca in 1927, his official biographer Gerald Martin finds that “es el escritor más célebre que ha dado el “tercer mundo” y el mayor exponente de una corriente literaria, el denominado “realismo mágico” que ha cobrado un asombroso vigor en otros países en vías de desarrollo”<sup>50</sup> (Martin 2011: 21). Indeed, the force of his impact upon the literary world has been great, even before he was awarded the Nobel Prize for Literature in 1982 for his: *“novels and short stories, in which the fantastic and the realistic are combined in a richly composed world of imagination, reflecting a continent's life and conflicts”*<sup>51</sup>.

The successful nature of this Colombian author’s literary career can thus be hardly overemphasized, nor can the outstanding impact García Márquez has had on generations of readers of his novels of ‘magical realism’, both in their Spanish original and in the English translations. The version studied here is a translation from the Spanish by Gregory Rabassa for the Penguin Classics edition (Márquez 2000), thereby producing a direct input at the publisher’s editing stage (wave 4 of the ‘Wave Method’) and rendering it a stage of much importance in the course of the analysis, just as was the case in the

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<sup>50</sup> My translation: “he is the most celebrated writer that the “third world” has produced, and the greatest exponent of a literary tradition, known as “magical realism, which has taken on an astonishing strength in other countries under development”.

<sup>51</sup> “The Nobel Prize in Literature 1982”. Nobelprize.org. 30 Mar 2011: [http://nobelprize.org/nobel\\_prizes/literature/laureates/1982/](http://nobelprize.org/nobel_prizes/literature/laureates/1982/)

earlier studies of Kafka and Borges. Indeed, both these writers as well as Hemingway can be said to feature greatly in the worldly input of García Márquez in terms of literature, as shall be seen as this analysis of *‘One Hundred Years of Solitude’* develops. The magical blend of social realism at a highly microcosmic level and a fantastical fictional world in which reality is negated in highly purposeful literary blends is indeed a common denominator, and the cognitive origins of this trend were traced by García Márquez himself to his first reading of Kafka’s *‘Metamorphosis’* in his interview with *The Paris Review* (*The Art of Fiction* 69: Winter 1981): “When I read the (first) line I thought to myself that I didn’t know anyone was allowed to write things like that. If I had known, I would have started writing a long time ago.” It is of interest to note that the translation which came into the hands of the young García Márquez was by a certain Argentine writer named Jorge Luis Borges (Martin 2011: 129).

The analysis of this ‘magical’ form of cognitive blending and its effects upon the reader’s (and writer’s) mind will be examined in the here following pages. But perhaps the most surprising of the worldly influences (wave 1) might be that of Hemingway<sup>52</sup> - surprising for their seemingly different resonances in the prototype reader’s mind. But as García Márquez wrote in his autobiography (2002: 440) “Los autores que me estimularon más para escribirla fueron los novelistas norteamericanos, y en especial los que me mandaron a Sucre los amigos de Barranquilla.”<sup>53</sup> The specific influence of Hemingway is the subject of an entirely interesting July 26 1981 article by García Márquez in the *New*

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<sup>53</sup> My translation: “The authors who most stimulated me to write were the North American novelists, and especially those which were sent to me in Sucre by my friends from Barranquilla.”

York Times books section is a meeting of the two greats in Paris<sup>54</sup>, although it only supposedly constituted a wave and shouted greeting on opposing sides of the Boulevard St. Michel. Much closer in any case are the ties with 2010 Nobel Prize Literature laureate Mario Vargas Llosa, with the latter writing his doctoral thesis at the Universidad Complutense de Madrid on the Colombian writer’s works up to that point. This doctoral study by one of the so called ‘Golden Generation’ of South American writers on another of its great writers is to be taken into account in the analysis that is to follow here<sup>55</sup>. The insights into the life and writing inspirations of García Márquez it provided were invaluable to the here following pages, which shall examine the cognitive impact of the “obra maestra” (Martin 2011: 21) which ‘*One Hundred Years of Solitude*’ was and continues to be to the modern day; a magically flowing masterpiece of world literature.

#### 4.5.1 Title: Laying the cognitive foundations

The title ‘*One Hundred Years of Solitude*’ gives the prototype reader a somewhat misleading impression of the magically replete novel which is to follow. In the Spanish original, the ‘cien’ perhaps adds a more concise resonance to the linguistic end product (wave 5) than the English equivalent ‘One hundred’, but one word more or less does not substantially subtract from the fact that the reader is foremost given an impression of an

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<sup>54</sup> <http://www.nytimes.com/books/99/07/04/specials/hemingway-Márquez.html>

<sup>55</sup> It was my privilege to be able to examine at length the original doctoral thesis of the illustrious former UCM student Mario Vargas Llosa in the Biblioteca Historica Márquez de Valdecilla: Calle Noviciados 3, Madrid.

entire lifespan being the subject of this novel. The longevity of a character or grouping seems to be indicated, a notion specified as soon as the reader turns to the back cover of the book and reads that it is indeed a novel tracing the fortunes of various generations of the same family, or otherwise a simple glance at the family tree placed tactfully before the actual start of the novel will suffice to make this early connection between title and text clear.

The reference to ‘solitude’ in the title makes for an equally interesting interaction between the writer and the reader, and activates the same notion of ‘solitude’ being linked to ‘unhappiness’ in the prototype reader’s mind which we have already seen in the previous analysis of Nabokov. A rather somber novel may be expected by the prototype reader after this title, a notion which is to be emphatically rejected by the sparkling ‘magical realism’ which is to resonate from the pages of the novel in the following 422 pages.

In terms of the author’s choice of the linguistic end product in the title, it may be said that the final choice of the title may have been made by García Márquez in the writer’s editing stage (wave 3), given what he recounted in the interview with *The Paris Review*: “in my first attempt to write it the title of the book was going to be *The House*”<sup>56</sup>. Indeed, the title takes on a vital importance in the unfolding narrative and the entire structure of the story, and will reverberate in the reader’s mind all the way until the stormy conclusion. What can be said at this stage, though, is that the ‘solitude’ in the title gives the reader a sense of curiosity as to which being or, as is indeed the case, family, has been placed under such a damning spell. With reader interest thus ensured, the novel begins to unwind that spell, which turns out to be entirely charming rather than damning.

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<sup>56</sup> In *The Paris Review*: *The Art of Fiction* 69, Winter 1981

#### 4.5.2. The beginning

The first line of ‘*One Hundred Years of Solitude*’ is extraordinarily important in fixing the reader’s receptive attention (García Márquez 2000: 1): “Many years later, as he faced the firing squad, Colonel Aureliano Buendía was to remember that distant afternoon when his father took him to discover ice.” The reader is asked at the very beginning to establish a fictional cognitive blend: one creative space being the time frame many years later when the character Colonel Aureliano Buendía faces the firing squad, with the second being the time at which the narrator is set to begin the story (as can be seen in table 21 below).

Table 21: Use and effect of fictional blend at beginning of ‘*One Hundred Years of Solitude*’

<u>Actor</u>	<u>Creative Space 1</u>	<u>Creative Space 2</u>	<u>Creative Space 3</u>	<u>Generic Space</u>	<u>Emergent structure</u>
Reader (receptive)	Time frame: Colonel Aureliano Buendía faces the firing squad many years later. Interest in reader triggered by danger of situation associated with ‘firing squad’.	Time frame: Day when his father took him to discover ice.	Time frame: Establishment of second creative space as starting point of narration.	Aureliano Buendía.	New received fictional reality: Young Aureliano Buendía, who will later face the firing squad as a colonel, is taken to discover ice by his father in the present moment of the narration. This

					blend creates interest in the reader to find out why this is so.
Writer (creative)	Time frame: Colonel Aureliano Buendía faces the firing squad many years later. Creation of advanced time frame in order to create suspense.	Time frame: Day when his father took him to discover ice.	Time frame: Establishment of second creative space as starting point of narration.	Aureliano Buendía.	New created fictional reality: Young Aureliano Buendía, who will later face the firing squad as a colonel, is taken to discover ice by his father in the present moment of the narration. Creates sense of intrigue in reader and lays foundation for start of novel.

In creative space 2 seen above, “The world was so recent that many things lacked names, and in order to indicate them it was necessary to point.” (García Márquez 2000: 1). In terms of receptive cognitive impact the fictional blend being made between current reality and an uncertain future time – specified only as ‘many years later’, places a clear emphasis in the opening sentence on the event which is to immediately evoke the reader’s interest and formulate a first receptive question to be later resolved: why is the Colonel facing the firing squad, and will this be his end? This creates a forward motion in the reader’s intentions to find out exactly what role this character is to play in the unfolding story, and if his fate is indeed linked to the ‘solitude’ mental association created in the

title. Secondly, the opening line establishes another clear cognitive link with the title in that there is again a reference to time.

The author’s linguistic choices are concertedly linked to the concept of time in this opening chapter, as is evident from the following simile employed in the second sentence of the opening paragraph (García Márquez 2000: 1) “At that time Macondo was a village of twenty adobe houses, built on the bank of a river of clear water that ran along a bed of polished stones, which were white and enormous, like prehistoric eggs.” In terms of the writer’s worldly input it is important here to note what García Márquez wrote in his autobiography (2002: 28) about the poetic resonance of the choice of setting for this novel: “El tren hizo una parada en una estacion sin pueblo, y poco despues paso frente a la unica finca bananera del camino que tenia el nombre escrito en el portal: Macondo. Esta palabra me había llamado la atención desde los primeros viajes con mi abuelo, pero solo de adulto descubrí que me gustaba su resonancia poética.”<sup>57</sup> A hint of the earlier resonance in the opening of Hemingway’s novel *‘For Whom the Bell Tolls’* may be made out here by the prototype reader, in that there is the same almost painterly quality to the setting of the scene, the same careful description of specific details such as the ‘white and enormous’ stones in the clear water, which are described as being ‘like prehistoric eggs’. The differentiation from Hemingway, the writer who as we have seen previously was referred to by García Márquez as one of his biggest influences<sup>58</sup> at the worldly input (wave 1) of literature reading, is that the Colombian writer has placed a variation from

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<sup>57</sup> My translation: “The train stopped in a station without a town, and then shortly thereafter stopped in the only banana finca of the journey which had the name on the sign: Macondo. The word called my attention since the first journeys with my grandfather, but only when I was an adult did I discover that I liked its poetic resonance.”

<sup>58</sup> As can be seen from the aforementioned García Márquez article in the New York Times book section: “Hemingway is the one who had the most to do with my craft – not simply for his books, but for his astounding knowledge of the aspect of craftsmanship in the science of writing”  
<http://www.nytimes.com/books/99/07/04/specials/hemingway-Márquez.html>

the standard at the very start of his novel. In blending times and hooking the reader’s interest with a fascinating execution by a firing squad, one which is effectively on hold, the writer places key structural and plot-level variations at the start of this novel.

Furthermore, the linguistic choice in this opening paragraph about the ‘prehistoric eggs’ is an interesting word level mechanism on the part of the writer, for there are two direct receptive inferences to be made from it. Firstly, the prototype reader infers here that the story is about to hatch a whole array of new characters – a notion seemingly supported by the mention of ‘17 Aurelianos’ in the family tree on the left hand side of the first page, and secondly (due to the activation of ‘prehistoric’) that this is a beginning situated right at the outset of time as we perceive of it.

Indeed the notion of time continues to play an important role in this opening of the novel, which is paradoxically not placed within any specific time frame but remains rather loosely attached in time reference terms to the various inventions which the gypsy Melquíades brings to the village on his regular appearances. Shortly after the introduction to the enigmatic gypsy, the reader is introduced to the founding fathers of the village of Macondo: José Arcadio Buendía and Ursula Iguarán. The microcosm of the relationship between these two characters is interesting to note, for there is a clearly patriarchal nature to the macrocosmic relationship between men and women in this village named Macondo. This receptive notion is confirmed by José Arcadio when he repeatedly follows his crazy ideas with regards to the ‘inventions’ which so fascinate him: (García Márquez 2000: 3) “Over the protests of his wife, who was alarmed at such a dangerous invention, at one point he was ready to set the house on fire.” The humorous nature of the

narration is not lost on the prototype reader<sup>59</sup>, but at the same time the image schema of bodily human orientation (up-down; front-back; centre-periphery) takes on an important role here. Through the writer’s linguistic choice, the prototype reader is given the impression that the men in the village are the ones who have the highest prestige and standing (*‘over the protests of his wife’*).

But the writer also undermines this patriarchal world view through his humorous usage of the image schema and its implications, to the point of having José Arcadio almost set the house on fire. By questioning José Arcadio through this humorous linguistic end product (wave 5) usage, García Márquez effectively also places into doubt his necessity in the functioning of the family house. That family house will serve as another important image schema throughout the novel in that it is the ‘container’<sup>60</sup> that is the epicenter of both the town of Macondo as well as the family at the heart of the town’s existence. Within that ‘container’ of the Buendía house and its immediate perimeter, José Arcadio “spent the long months of the rainy season shut up in a small room that he had built in the rear of the house so that no one would disturb his experiments” (García Márquez 2000: 4). As a result, the reader who is already preconditioned by the earlier image schema discussed above finds out that José Arcadio therefore “completely abandoned his domestic obligations”, resulting in that “Ursula and the children broke their backs in the garden, growing banana and caladium, cassava and yams, ahuyama roots and eggplants.” The prototype reader is here confronted with authenticity in the reading process, which the author is able to bring across in the writer-reader dynamic

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<sup>59</sup> As shall become evident in the analysis of the choice of the narrating voice to follow.

<sup>60</sup> An importance reflected in the early intention of García Márquez to give the novel the title ‘La Casa’, or ‘The House’, and center all actions within these walls: In *The Paris Review: The Art of Fiction* 69, Winter 1981.

with local details such as the ‘rainy season’ and the variety of increasingly exotic fruits. Additionally, the functioning of a patriarchal society in the town is portrayed by the husband’s abandonment of domestic duties and by the fact that the wife and children are needed to grow the fruits and vegetables necessary for survival because José Arcadio is too busy with his ‘experiments’.

For the prototype reader, who has grown up in a region (the Middle East) where patriarchal societal structures are entirely abundant, this results in a macroscopic application in the fictional blend which is further heightened by José Arcadio’s culminating discovery that: “the earth is round, like an orange” (García Márquez 2000: 5). For the writer, this idea of producing a micro-level setting with macro-level implications and applications can indeed be seen as a large part of the success of the novel in terms of the writer-reader dynamic. The discovery that the earth is round is indeed part of human history, and García Márquez here gives it an entirely local dimension and importance in his story. As Ploetz writes (2004: 91): “Rara vez se habrá explicado de forma más intuitiva y cómica el concepto sociológico del desarrollo.”<sup>61</sup> The entire first part of the novel can be seen in this light, with Macondo becoming synonymous for humanity and humanity becoming transformed into the fantastical residents of the small rural town in Colombia.

This constant interplay between microcosmic and macrocosmic elements gives the novel its global receptive relevance, and finally accounts for the success it has achieved with readers around the globe. Thus when Ursula loses her patience and smashes José Arcadio’s astrolabe on the floor, it is taken by the prototype reader to be a symbolic

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<sup>61</sup> My translation: “rarely has the concept of sociological development been treated in a more intuitive and comical manner.”

expression of woman’s rights in the face of patriarchal suppression. In response, José Arcadio “built another one, he gathered the men of the village in his little room, and he demonstrated to them, with theories that none of them could understand, the possibility of returning to where one had set out by consistently sailing east.” (García Márquez 2000: 5). The epicenter of the entire undertaking is once again the small room inside the ‘container’ of the house, which contains not only the entire gathering of men of the village, but also the entire knowledge of humanity which progresses as the novel does so too. But significantly it is ultimately Ursula who is responsible for keeping the ‘container’ of the family house, which is described in detail (García Márquez 2000: 9) and labeled as the “best in the village”, in its current place in Macondo. Countering her husband’s plan to move the village to a new location, Ursula decisively intervenes (García Márquez 2000: 13): “with the secret and implacable labor of a small ant she predisposed the women of the village against the flightiness of their husbands, who were already preparing for the move.”

The metaphor is an interesting linguistic choice (at wave 2 and / or 3) on the part of the writer: it provides the reader with the activation of creative spaces of an animal which is often overlooked and underestimated, which has supposedly little prestige in the animal world, but which nevertheless carries more than its own body weight and is highly industrious. The reader finds out by means of this linguistic choice that the village stays in its place thanks to Ursula. And the writer makes an important statement about gender relations in Colombian families at the time of his writing the novel through the choice of the ‘ant’ metaphor. This choice may well have been brought about by his own worldly input of being brought up by his grandparents and modeled on the life of his

grandmother, for as Vargas Llosa wrote: “Casi toda la obra literaria de García Márquez está elaborada hasta ahora con esos materiales que fueron el alimento de su infancia.”<sup>62</sup>

That notion is confirmed by García Márquez himself, who mentions in his interview with *The Paris Review* that: “The trouble is that many people believe that I’m a writer of fantastic fiction, when actually I’m a very realistic person and write what I believe is the true socialist realism.”<sup>63</sup> García Márquez goes on to state that not only did he write the entirety of *‘One Hundred Years of Solitude’* based on his own childhood experiences, but also that his entire body of work is based on actual happenings.

Table 22: Use of the ‘ant’ metaphor in beginning of *‘One Hundred Years of Solitude’*

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Ant’ metaphor related to Ursula’s keeping village in its place.	Possible feedback from publisher, critics and readers	(Márquez 2000: 13): “with the secret and implacable labor of a small ant she ...”	The metaphor may have been used to show gender relations in Colombian family at time of writing the novel.	Writer’s own memories of growing up with his grandmother in Aracataca.
Reader (receptive)	‘Ant’ metaphor related to Ursula’s keeping village in its place.	Link Ursula to being a hard worker despite having little prestige.	-	-	Own experience of living in a patriarchal society (Middle East: Qatar, Bahrain)

<sup>62</sup>(Doctoral study Mario Vargas Llosa at UCM: 12). My translation: “almost all the literary works of García Márquez until now are made with these materials which were at the heart of his infancy”.

<sup>63</sup> In *The Paris Review: The Art of Fiction* 69, Winter 1981.

The reader is thus further reminded of the importance of the woman in the development of Macondo at a microcosmic level – with its macrocosmic implications for the prototype reader with own experiences of living in patriarchal societies - when Ursula returns from her search for one of her sons in chapter 2 with a whole array of new settlers who propel the development of the village into a bustling city. But this will be discussed in the here following section (4.5.3. The Progression). What remains to be said for the beginning of the novel is the entirely unique narrating voice which gives the prototype reader a resonance of almost journalistic impartiality, at times bordering on the ironic, and often the humorous and the exaggerated, which serves to bring across the fictional world of Macondo in an entirely believable way in the writer-reader dynamic as the novel unfolds and the happenings become increasingly incredible. García Márquez attributed this narrative style to the unique manner his grandmother had of telling stories: “It was based on the way my grandmother used to tell her stories. She told things that sounded supernatural and fantastic, but she told them with complete naturalness. When I finally discovered the tone I had to use, I sat down for eighteen months and worked every day.”<sup>64</sup>

The result is a resonance which creates in the prototype reader a sense of total confidence that what is being said is indeed the truth, or a representation thereof, no matter how incredulous that truth might be. When Ploetz (2004 :97) finds that “el narrador es omnisciente. Avanzando y retrocediendo en el tiempo, demuestra que ya conoce la totalidad de sus vidas, de su pasado y de su futuro”<sup>65</sup>, it is this which gives the importance to the final scene of the first chapter, which provides the reader with a

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<sup>64</sup> In *The Paris Review: The Art of Fiction* 69, Winter 1981.

<sup>65</sup> My translation: “The narrator is omnipresent. Advancing or going back in time, the narrator shows that he knows their entire lives, their past and their future.”

cognitive link back to the opening sentence (García Márquez 2000: 18) “Disconcerted, knowing that the children were waiting for an immediate explanation, José Arcadio Buendía ventured a murmur: ‘It’s the largest diamond in the world.’ ‘No,’ the gypsy countered, ‘it’s ice’.” And so, bringing back into focus the opening sentence of the novel and narrating this supposedly simple scene with the mixture of narrative naturalness and implicit humor, García Márquez binds the reader to the progression of the novel which is to follow. For whilst the reader has now mentally seen the scene which the omnipresent narrator mentioned in the first sentence, there is still no hint as to Colonel Aureliano Buendía’s fate in the face of the firing squad which is still so indelibly frozen – just as the ice which the young Aureliano has just made contact with in the narration – in the reader’s mind.

#### 4.5.3 The progression

The progression of ‘*One Hundred Years of Solitude*’ commences in the prototype reader’s mind with the birth of the Buendía’s third child (García Márquez 2000: 31) Amaranta, who is inspected thoroughly by Ursula for fear of her being born with the “pig’s tail” of incest which is feared in family folklore (García Márquez 2000: 41). The theme of family development is further emphasized when both of the Buendía sons make first encounters with love. José Arcadio, to be distinguished only from his father because the latter carries the additional ‘Buendía’ at the end of his name, is described in the act of

making love to a gypsy girl in the following terms (García Márquez 2000: 34): “his heart burst forth with an outpouring of tender obscenities that entered the girl through her ears and came out of her mouth translated into her language. It was Thursday. On Saturday night, José Arcadio wrapped a red cloth around his head and left with the gypsies.” The sequence is rich in receptive resonance in that the reader is confronted first with a suitably poetic description of the act of making love<sup>66</sup>, and complimented directly thereafter with the first instance of a family member leaving the nucleus that is Macondo and by extension the Buendía house for an infinite amount of time. Indeed, with this emphatic ‘outpouring’ of love from the ‘container’ (image schema usage at wave 2 and / or 3) of the young man’s body, there is a genuine doubt in the prototype reader’s mind as to whether José Arcadio will return at all in the foreseeable future. The writer’s use of the ‘container’ image schema during the love-making scene serves as an empathizing factor for the reader, and emphasizes the impact of José Arcadio’s voluntary exile immediately thereafter. This entire sequence is described in a typically understated tone which portrays to the prototype reader an entirely humorous resonance. The entirely short sentence ‘It was Thursday’ can be felt as a climax after the love-making which preceded it. Thereafter, without a pause in action, José Arcadio’s decision to leave is conveyed with candid humor in the way he wraps a red cloth around his head and leaves.

Indeed, the choice of the ‘container’ of José Arcadio’s body is an apt one on the part of the writer, given that he shows the heart (rather than the head as might be expected) as being the part of the body which is pouring forth ‘tender obscenities’. García Márquez creates here a heart which can speak; and it speaks the language of love. The heart, then,

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<sup>66</sup> One which would have conformed to moral standards of the time of publishing in 1967 and thereby complied with the writer’s (wave 3) and publisher’s (wave 4) editing stages.

is shown as the most important part of the amorous equation by the writer, which is an astute observation to make in many ways and serves as a further point of identification on a macroscopic level for the readership – many of the elder generations of readers will indeed have been confronted with the theme of offspring leaving the family to follow their ‘heart’ in matters of love. And it is the micro-level container which is the heart that is shown as speaking to the gypsy girl’s head, whilst in return it is José Arcadio’s heart which dictates to the head (wrapped in a suitably colored ‘red cloth’) to leave Macondo. This intricate interplay of heart and head, two sub-containers in the larger container that is the entire human body, aptly captures not only the act of love, but indeed the art of love. This interaction of ‘containers’, from the writer’s likely cognitive intentions to the receptive effects upon the reader can be seen in table 23 below.

Table 23: Use of ‘container’ image schema for love scene in progression of ‘One Hundred Years of Solitude’

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Container’ image schema for José Arcadio’s heart.	Possible feedback from publisher, critics and readers.	(García Márquez 2000: 34): “his heart burst forth with an outpouring of tender obscenities that entered the girl through her ears and came out of her mouth translated into her language. It was Thursday. On Saturday	To demonstrate the extraordinary circumstances which may make a character like José Arcadio leave Macondo: for love.	García Márquez’s own experiences of love and of leaving his home town.

			night, José Arcadio wrapped a red cloth around his head and left with the gypsies.”		
Reader (receptive)	‘Container’ image schema for José Arcadio’s heart.	Makes felt the love produced by the heart of the character that makes him leave Macondo for a girl, and shows that even language barriers don’t matter much when love is involved.	-	-	Reader’s own experiences of love being an outpouring of emotions from the heart, which effectively then controls the head.

The reaction of the family, that central nucleus of García Márquez’s novel, is imminent, leaving the reader no time to waiver in terms of attentiveness in the writer-reader dynamic. Ursula finds out about her son’s decision to leave and is outraged, and shouts at José Arcadio Buendía, who replies succinctly (García Márquez 2000: 35): “I hope it’s true... ‘That way he’ll learn to be a man.’” The seemingly comical utterance is a further indicator of the relevance of gender relations in the text, a theme compounded a few lines later when Ursula has left the village too to search for her son, and (García Márquez 2000: 35): “For several weeks José Arcadio Buendía let himself be overcome by consternation. He took care of little Amaranta like a mother.” A poetical sense of justice is achieved in the prototype reader’s mind here, as the earlier roles in which Ursula and the children bore the weight of domestic duties is entirely reversed. Now it is José Arcadio Buendía who is left alone to run the ‘container’ that is the family house, with the

small child Amaranta to care for. But crucially it is only a temporary swap of gender positions in the patriarchal society that is Macondo – a fact signalized by the linguistic choice of the simile which likens the father to a mother, when indeed the father should equally take care of his own baby. Martin (2011: 41) refers to this as the “macho” image which was preferred by the Colombian male during the lifetime of García Márquez’s grandfather, who had a great impact upon the young Gabriel García Márquez. Keeping this writer’s worldly input (wave 1) in the form of childhood experiences in mind, the return of Ursula to the epicenter of the novel’s action seems an important piece of social critique on the writer’s part (García Márquez 2000: 37): “Ursula had not caught up with the gypsies, but she had found the route that her husband had been unable to discover in his frustrated search for the great inventions.”

As the narrative continues to flow effortlessly onwards through its various vividly described episodes, the irony here can hardly be overlooked. Ursula, breaking out of the routine of being the housewife in entirely extraordinary circumstances, manages on her own to achieve something which her husband – ‘condemned’ temporarily to the role of being a mother in her absence – did not achieve with many of the men of the village in the first chapter. She has found a route to connect Macondo to the rest of the world, a route which is also the image schema of ‘path’ that brings that story to its next level: the rapid development of Macondo. The ‘path’ of worldwide women’s emancipation is thus reflected by the writer through his linguistic choices, mirroring the microscopic happenings of Macondo. Given such macro-level implications and direct relevance to a highly diverse readership, it is hardly surprising to note that the novel has achieved such an astounding audience impact over the almost half-century of its existence.

But the reader is given no excessive time to dwell upon these implications of the writer's linguistic choices (which remain, rather, entirely subconscious and thus all the more powerful), for the narrative hurries magically onwards, ever conscious of the necessity to fit in the title's promised one hundred years worth of happenings in the Buendía family. This cognitive link back to the title is equally done subconsciously by the prototype reader, who now identifies the Buendía family as the authentic focal point of the entire novel.

Thus, initiated by Ursula's opening of the new trade route, begins the time of rapid development in Macondo. It is signaled by José Arcadio Buendía's return to the role of de facto major of Macondo, and later (García Márquez 2000: 61) also by the inauguration party of the newly refurbished house, which has become a veritable mansion. The gender roles have thus returned to their usual – entirely depressing in the eyes of the prototype reader - format. Whilst the latter event is organized in meticulous fashion by Ursula, the former happening is indicative of the return to the return of José Arcadio Buendía's role as the patriarchal head of the family. José Arcadio Buendía is (García Márquez 2000: 39): “Fascinated by an immediate reality that came to be more fantastic than the vast universe of his imagination”. For the prototype reader, the metaphor comparing José Arcadio Buendía's imagination to a vast universe comes as both as a reconfirmation of the earlier notion that he is involved with fantastical inventions while his wife is responsible for the reality of everyday life, whilst also being a vindication of the fantastical happenings which are becoming increasingly frequent as the novel progresses. It equally serves to expand the reach of the thematic input in the writer-reader dynamic to an entirely universal level; the reader's imagination is taken beyond the rapidly

developing town of Macondo by the very means of narrating exaggeration which shall be examined in the here following passages.

And the metaphor employed here by the writer is highly indicative of his cognitive intentions in the tone of narration which has been analyzed earlier, for as Ploetz (2004: 96) writes: “García Márquez ha señalado, una y otra vez, que su meta fundamental al escribir es alcanzar una credibilidad total.”<sup>67</sup> Thus, if this is so, then the writer attempts to instill in the reader the idea that the boundaries between reality and imagination are indeed to be found exactly at the place where the narrator so skillfully places them. Thus, when the “insomnia plague” (García Márquez 2000: 45) comes to give the population of Macondo sleepless nights, “they did not become alarmed until the third day, when no one felt sleepy at bedtime and they realized that they had gone more than fifty hours without sleeping.” This insomnia plague which sweeps across the entire town is undoubtedly an instance of the technique of exaggeration which Vargas Llosa<sup>68</sup> attributes to the Colombian writer’s successful resonance: “La técnica de la exageración...es una de los recursos estilísticos principales de que se vale el narrador para trasladar seres, objetos y situaciones de lo real objetivo a lo imaginario”<sup>69</sup>. The technique of exaggeration identified in the doctoral thesis of Vargas Llosa thus evokes in the prototype reader a heightened sense of reading entertainment and cognitive attentiveness to the text. But what makes this exaggeration so unique is that it has a clear basis in the reality of microcosmic Macondo. Hence when the narrator relates that “they would gather together to converse endlessly, to tell over and over for hours on end the same jokes...” (García

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<sup>67</sup> My translation: “García Márquez has signaled repeatedly that his main goal in writing is to reach a credibility as such”.

<sup>68</sup> Mario Vargas Llosa, Doctoral Thesis UCM: 310.

<sup>69</sup> My translation: “The technique of exaggeration...is one of the main stylistic recourses which the narrator makes use of to translate human beings, objects and situations from the real objective to the imaginative”.

Márquez 2000: 47) the particular prototypical reader in question here (the writer of this doctoral study) finds one specific creative input coming from his own experiences of the human warmth and overwhelming sense of togetherness which Colombian families emit. The late night gatherings which are so conventional in this cultural context are thus exaggerated on the part of the writer to create a heightened cognitive impact in the reading experience.

The same effect is achieved in the progression of the novel when García Márquez revokes the reader's cognitive attentions once more to the scene in the very first line of the novel (García Márquez 2000: 74): “Years later, facing the firing squad, Arcadio would remember the trembling with which Melquíades made him listen to several pages of his impenetrable writing, which of course he did not understand”. The structure of the sentence is virtually the same as in the opening line of the novel, and the narrator's omnipresent knowledge is equally displayed, only that this time the name of the character in question has been interchanged, prompting a quick look back perhaps to the opening page and the family tree in order to ascertain that there has indeed been a change. This is in fact the case; beside Colonel Aureliano Buendía, a second family member has now been placed, at a frozen point in the future, in front of a firing squad and is seemingly condemned to die. The fate of Arcadio is not revealed either, and crucially the mutterings of the gypsy, who has come to live in the house in his last days, contain the future fate of the entire Buendía family as well as the town of Macondo. But this is not known to the reader yet – only to the writer who is preparing the fitting cognitive finale for the receptive participant in the writer-reader dynamic.

Before this final stage of the novel, though, there are regular cognitive hints for the reader to decipher more of the events of the firing squad and that coming concept which is implied by its very existence: war. In the wedding which unites the Buendía family with that of their declared enemy – Aureliano with Remedios Moscote – the former is described in the following terms: (García Márquez 2000: 83) “Aureliano, dressed in black, wearing the same patent leather boots with metal fasteners that he would have on a few years later as he faced the firing squad”. The links between love and war are shown here through the clothing of Aureliano, who is soon to change into military attire to fight as the self-proclaimed Colonel immediately after Ursula burst into his workshop to declare that war had broken out (García Márquez 2000: 105): “And don’t call me Aurelito anymore. Now I’m Colonel Aureliano Buendía.” The change of name, from the affectionate Spanish use of the diminutive which readers (such as the prototype reader) familiar with the language may contrast more distinctly with the very formal full name prefixed by the army rank, shows clearly Aureliano’s progression. From young boy to military leader. The firing squad which is still so effectively frozen in the reader’s mind seems to be moving ever closer. And armed conflict has now reached the seemingly idyllic town of Macondo. The chapter which signals this arrival of war and the departure of Aureliano to fight against the conservatives begins with the revelation that he will indeed survive the firing squad (García Márquez 2000: 106): “He survived fourteen attempts on his life, seventy-three ambushes, and a firing squad.” With this knowledge the reader’s central cognitive question which dates back to the first page is finally answered, but at this point the fate of the entire Buendía family and of Macondo in general has taken on such an importance for the prototype reader that there is no loss of

reader attentiveness at all. And whilst the fate of Aureliano in front of the firing squad has been resolved, that of Arcadio has not.

Ironically, it is this arrival of war into the novel which makes first Arcadio and then Ursula the effective rulers of Macondo. The former is deposed by the latter because he takes on despotic habits, and so it is left to Ursula to rule the town and seek advice from her husband, who has long been tied to a tree and forgotten in the courtyard because of his supposed madness – another sure sign of the narrator’s skillful use of the technique of exaggeration to portray the exile of ageing family members in society. The reversal of the patriarchal society’s gender roles are equally interesting to note here from a receptive point of view: Ursula rules now not just in the ‘container’ that is the house but the entire extension of that container which is the town of Macondo. Meanwhile, her husband has been exiled physically from the house and also mentally from the familiar sphere and its communicative interaction, which has been shown by the insomnia plague earlier to be of such integral importance. He will return to the house only at the very end of his life, when Colonel Aureliano Buendía predicts that his father is on the verge of dying and Ursula take him inside again in his final days (García Márquez 2000: 144). This monumental death of the founding father of Macondo is preceded by the death of Arcadio at the hands of a conservative party firing squad (García Márquez 2000: 121). Significantly, the death of Arcadio takes place “against the wall of the cemetery”, and appears to the prototype reader as a kind of justification for the suffering he has brought to the people of Macondo – that virtual extension of the house of the Buendía family, in his time as military ruler. The writer contrasts this rather sullen death at the hands of the firing squad with the death of José Arcadio Buendía at the heart of the ‘container’ that is

the Buendía house, and which is followed by “light rain of tiny yellow flowers falling” (García Márquez 2000: 144) throughout the town. Even though the narrator makes entirely sure to retain impartiality throughout, the contrasting natures of their final moments – and the very placement of these related to the epicenter of the family which is the Buendía house – are indicative of their importance in the writer’s moral judgment.

The same notion may be applied to the development of Colonel Aureliano Buendía as he ascends the ranks of the liberal party army, with the narrator showing his descent into heartlessness in the following unmistakable terms (García Márquez 2000: 170): “The same night that his authority was recognized by all the rebel commands, he woke up in a fright, calling for a blanket. An inner coldness which shattered his bones and tortured him even in the heat of the sun would not let him sleep for several months...”. In receptive terms, there is a cognitive link back here to the earlier insomnia plague which troubled the town of Macondo, only that now the insomnia is at a highly personalized level and that the individual in question is far away from his home town. Not only this, but the reader is confronted with the ‘inner coldness’ which troubles the Colonel after he has assumed complete control, linking back cognitively to the ‘solitude’ mentioned in the title of the novel. This link is confirmed to the reader a few lines later (García Márquez 2000: 171): “Lost in the solitude of his immense power, he began to lose direction”. On the part of the part of the writer, both linguistic choices are indicative of his intentions: firstly, the ‘container’ image schema of the Colonel’s body which commences to freeze on the inside as power begins to break apart the bones inside his body, even if the sun is shining, and shortly thereafter the ‘path’ image schema which is negated by the Colonel’s lost sense of direction as he acquires external military power but essentially loses all his

internal and intrinsic human warmth. García Márquez here uses these linguistic devices to great effect to implement his cognitive intentions with regard to the theme of the solitude of power, as can be seen from table 24 below, and also from the following extract of that aforementioned<sup>70</sup> interview: “The more power you have, the harder it is to know who is lying to you and who is not. When you reach absolute power, there is no contact with reality.”

Table 24: Use and effect of ‘container’ image schema for Colonel Aureliano Buendía’s body in progression of novel

<b><u>Actor</u></b>	<b><u>Linguistic device</u></b>	<b><u>Receptive effect</u></b>	<b><u>Productive choice</u></b>	<b><u>Cognitive intention</u></b>	<b><u>Worldly input</u></b>
Writer (creative)	‘Container’ image schema	Possible feedback from publisher, critics and readers.	(García Márquez 2000: 170): “An inner coldness which shattered his bones and tortured him even in the heat of the sun would not let him sleep for several months...”.	To bring across the ‘solitude’ of the title to the reader, a solitude which is based upon the military power which the central character Aureliano Buendía acquires.	García Márquez’s own experiences of violent conflict known as ‘La Violencia’ during his formative writing years.
Reader (receptive)	‘Container’ image schema.	Makes emptiness of power emphatically felt in own body of reader.	-	-	Reader’s own experiences of war and sleeplessness.

<sup>70</sup> In The Paris Review: The Art of Fiction 69, Winter 1981.

For García Márquez, the journalist who developed his writing skills during a tumultuous time in Colombia’s history, the terrible “La Violencia” (Martin 2011: 122) which cost a quarter of a million Colombian lives, this demonstration of the essential emptiness of power and war in general, as well as the heartlessness of its leaders is an important theme indeed. And it is only when Colonel Aureliano Buendía has returned home from his essentially empty war exploits that Ursula, the ageing heartbeat which keeps the Buendía household running, can utter the following exclamation (García Márquez 2000: 184):

“Now they’re going to see who I am,” she said when she saw that her son was going to live. “There won’t be a better, more open house in all the world than this madhouse.” It is an astute utterance in many ways, for the Colonel’s coldness can only be (partially) remedied by his return to that ‘open’ container of the Buendía house, that essence of this novel. And in the here following conclusion section, the arrival of the banana company and the death of Ursula will ultimately signal the beginning of the end for the Buendía house, turning it into another type of ‘container’ altogether.

#### 4.5.4 Conclusion

With the arrival of the first train in Macondo approaches also the “banana plague” (García Márquez 2000: 236), a word composition which implies to the prototype reader both the creative space connotations of the earlier all-enveloping insomnia plague which effected the entire village, and also contains the negative implications of the word ‘plague’. Indeed, the writer chooses to bring the arrival of the banana company to the very heart of the novel – that ‘container’ which is the Buendía house. Recently renovated once more by the tireless and yet ageing Ursula, it now welcomes (García Márquez 2000: 231) “on one of so many Wednesdays the chubby and smiling Mr. Herbert, who ate at the house. No one noticed him at the table until the first bunch of bananas had been eaten.” The writer’s exaggeration is implicit here, combining the well-known notion of Colombian friendliness towards visitors, which may well be part of the reader’s own experiences as is the case in this prototype reader, with the narrating purpose of emphasizing the special interest in bananas which Mr. Herbert shows. The implicit humor in the following observation that “he was seen with a net and a small basket, hunting butterflies on the outskirts of the town” (García Márquez 2000: 232) bring forth in the reader’s mind the reminder that he is a foreigner, supposedly hunting butterflies on the ‘outskirts’ of the extended ‘container’ that is the town, and also that he has a hidden agenda – for he is clearly not just hunting butterflies.

This is made clear by García Márquez when the narration moves forward with trademark precision and rapidity to the observation that: “The gringos...built a separate town across the railroad tracks” (García Márquez 2000: 233). Here, the writer mirrors the town of Macondo with the new settlement put up by the foreigners who “arrived on the train from halfway around the world”, and who are referred to rather depreciatively as the ‘gringos’. For any reader with knowledge of the South American continent, this linguistic usage is indicative of the divide which has been brought about by the arrival of the Americans who form part of the banana company, and the author’s usage of a mirrored and entirely exclusive ‘container’ town of their own across the railroad tracks shows this divide most clearly. Whilst Ursula as the virtual head of the Buendía household and Macondo by extension are entirely welcoming of any new arrivals, the ‘gringos’ build their town “surrounded by a metal fence topped with a band of electrified chicken wire which during the cool summer mornings would be black with roasted swallows” (García Márquez 2000: 233). The imminence of death is hinted at by the author through the use of the dark, dead swallow imagery. And the incessant build up of hostilities between the locals and the exploitative Americans, who let their workers work every day of the week and in oppressive conditions, indeed lead to the general strike and the there following massacre of civilians which José Arcadio Segundo witnesses in the following terms: “he saw the man corpses, woman corpses, child corpses who would be thrown into the sea like rejected bananas.” (García Márquez 2000: 312). The impact upon the prototype reader is indeed harrowing, as the likening of dead men, women and children to rotting

bananas which can be dumped into the sea serves to enhance the inhumanity of the exploitation of Colombia’s natural resources.

The writer himself has stated in the interview with *The Paris Review*<sup>71</sup> that “the banana fever is modeled closely on reality”, and indeed that “it always amuses me that the biggest praise for my work comes for the imagination, while the truth is that there’s not a single line in all my work that does not have a basis in reality. The problem is that Caribbean reality resembles the wildest imagination.” Thus to the writer’s worldly input (wave 1), which was undoubtedly inspired by the real life happenings surrounding the arrival of the United Fruit Company in the Caribbean part of Colombia.

But the tragedy of the banana plague is finally overshadowed by the downfall of the Buendía family, and by extension that of Macondo itself. Again, the central theme in this downfall is the ‘container’ that is the Buendía house. At first, it is the symbolic rising to heaven of Remedios the Beauty which signals the beginning of the end (García Márquez 2000: 242): “Remedios the Beauty began to rise. Ursula, almost blind at the time, was the only person who was sufficiently calm to identify the nature of that determined wind and she left the sheets to the mercy of the light as she watched Remedios the Beauty waving goodbye”. As the most sought after girl of the town, aptly named to reconfirm her sensational looks to the reader, lifts up with the sheets and disappears upwards and supposedly into the “upper atmosphere”, the prototype reader is left at first with an impression of the magical and the mystical that has so often been brought about in these pages by the writer’s extensive use of the aforementioned exaggeration technique. The

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<sup>71</sup> In *The Paris Review: The Art of Fiction* 69, Winter 1981.

reader may thus blend the knowledge of the real world, where a lifting up skywards through mere sheets caught by wind seems impossible, and the input of the novel where such happenings are described as entirely plausible. But on closer reading it is indeed mentioned by the narrator immediately thereafter that outsiders believed the episode to be a family creation to “save her honor” (García Márquez 2000: 243), and Ploetz (2004: 97) points out that the entirely rational happenings of a girl running away with her lover are shrouded in the magical terms described. Significantly, they are described from Ursula’s point of view. For the prototype reader, this creates an entirely real insight into the magical minds of those characters, as well as providing for a reading experience which keeps attentiveness high at all times. For García Márquez himself, the episode of Remedios the Beauty was indeed inspired by a real life sighting of a woman struggling with bed sheets in the wind (Ploetz 2004: 97), providing thus the worldly input (at wave 1) for this seemingly magical happening in the novel. For as Vargas Llosa<sup>72</sup> wrote: “Lo real imaginario no existe, o existe como tal, es decir como una dimensión subjetiva de lo real objetivo.”<sup>73</sup>

The final stages of the novel are then centred upon the ‘container’ that is the Buendía house, as “with Ursula’s death the house again fell into a neglect from which it could not be rescued” (García Márquez 2000: 352). As can be seen from table 25 below, the falling into neglect of the house implies a downward direction in the writer’s cognitive intentions, and this is then extended in the reader’s mind to the premises of the Buendía family itself.

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<sup>72</sup> Mario Vargas Llosa, Doctoral Thesis UCM: 267.

<sup>73</sup> My translation: “The veritable fantastical doesn’t exist, or exists as such, that is to say as a subjective dimension of the objective reality.”

Table 25: Use and effect of house ‘container’ image schema in conclusion of novel

<u>Actor</u>	<u>Linguistic device</u>	<u>Receptive effect</u>	<u>Productive choice</u>	<u>Cognitive intention</u>	<u>Worldly input</u>
Writer (creative)	‘Container’ image schema for Buendía house ‘falling’ into neglect.	Possible feedback from publisher, critics and readers	“With Ursula’s death the house again fell into a neglect from which it could not be rescued” (García Márquez 2000: 352).	To bring about a fitting conclusion to the novel with regards to the title and to move towards this end which the gypsy has prophesied.	The writer’s visit (which is at the start indeed of his autobiography) to his childhood house, which had fallen into neglect.
Reader (receptive)	‘Container’ image schema for Buendía house ‘falling’ into neglect.	Transfer of downward bodily direction image schemas to ‘container’ image schema of Buendía house and by extension the Buendía family (cognitive connotations of title).	-	-	Own experiences of witnessing neglect of house and how this effects a family.

Ursula, the veritable heart of the novel, has passed away, and it is not long before the predictions of the gypsy Melquíades are to come true (García Márquez 2000: 421): “It was the history of the family, written by Melquíades, down to the most trivial details, one hundred years ahead of time.” Not only is the downward motion of the Buendía family reinforced cognitively here in the prototype reader’s mind, but there is also finally the confirmation of the cognitive link to the title. The end is indeed imminent. Aureliano Babilonia, the last Buendía alive, is thus killed on the final page in the great biblical whirlwind which uproots the entire

town of Macondo, and it is fittingly the Buendía house where he spends his last moments (García Márquez 2000: 422): “Before reaching the final line, however, he had already understood that he would never leave that room”. Thus ends the novel in the Buendía house, as it is uprooted by the forces of nature. And the same might be said of the cognitive impact of García Márquez’s masterpiece novel: a force of nature, indeed. As Hogan writes about another, much earlier literary great (2003: 137) “Part of Shakespeare’s genius was his ability to generate these multiple and innovative variations on a standard structure and weave them together into a tightly unified drama.” García Márquez has equally generated richly lasting variations with entirely global implications in ‘*One Hundred Years of Solitude*’, to such an extent that this novel will surely continue to make an equally important cognitive impact on readers around the world as it has done thus far.

## **5. Conclusion**

Having thus examined the corpus of 20<sup>th</sup> Century literary works of great importance in the previous Results and Analysis of this study, the current section aims to draw together key findings and also to propose further study possibilities which can lead on from this one. But before moving on to these most significant findings derived from the ‘Wave Method’, it is opportune to consider once more the words of Mario Vargas Llosa when he said that:

“When a writer is alone, and interrogate themselves, they know that as much effort as they put into it, and as far as they got, the work still remains below the ideal of absolute perfection and absolute beauty which a writer, and any artist, always want to achieve. But the marvelous thing about literature is that it is the magic which we find in order to live these worlds of absolute perfection, absolute coherence and absolute beauty which we can never live in the reality. When we read ‘Don Quijote’, or ‘War and Peace’, or Joyce or Faulkner, one of the great works of literature, we don’t only read but we effectively live this reality through a character, a reality where everything is beautiful, even the most ugly, cruel things. During the time of reading we are able to

abandon the world and enter these perfect worlds, I think that is one of the marvelous things of literature.”<sup>74</sup>

Not only does this show the restlessness and discipline which drives a great writer like Vargas Llosa, a notion discussed in my article published on May 7<sup>th</sup> 2011 in El Pais English<sup>75</sup>, but it also displays the extent to which a reader is transformed into a state of bodily identification with the main character in successful works of fiction.

From the very outset of the Results and Analysis the ‘Wave Method’ analysis of ‘Metamorphosis’ has shown Kafka’s reliance on the transformed body of Gregor Samsa in making a heightened impact upon the reader’s receptive system. Indeed, as the analysis of Kafka’s story has shown, the fictional blend which is created by the author is of a counterfactual nature, but works with a real sense of authenticity due to the writer’s choice of resonance in the writer-reader dynamic. This notion, and the use of the ‘container’ image schema to bring about the effect of ‘embodiment’ already discussed in the Introduction of this study, was mirrored in the linguistic choices of Hemingway in *‘For Whom the Bell Tolls’*, in which Robert Jordan takes on an entirely central importance from the very first line. The

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<sup>74</sup> Translated by author of this doctoral thesis, from the Mario Vargas Llosa speech at ‘Conversacion en la Universidad’, event during the ‘I Semana Complutense de las letras’ on May 4<sup>th</sup> 2011. See also Appendix 7.

<sup>75</sup> Article by Matthias Krug in El Pais English at:

<http://blogs.elpais.com/trans-iberian/2011/05/mario-or-the-great-writers-wrestlessness.html>

Extract from article: “And the master did not disappoint. He talked of the writer’s omnipresent insecurity. He joined together beautiful sentences, as if indeed writing in the air. And he complained that the Nobel Prize has taken away his time for writing, and at times even his energy to do so. And therein lay the essence of Mario’s restlessness on this balmy Madrid spring evening. No writer, he said then, could ever be completely satisfied; with their work, with the time they’ve invested, with the effort they’ve made.”

similarity between the two also extends to the counterfactual nature of the blend employed when Robert Jordan is injured and asks María to believe that he will continue to live on in her body because they love each other. The prototype reader knows that this is physically impossible, but wants to believe in the blend because of the harsh reality which has befallen the main character – just as in Kafka’s ‘Metamorphosis’.

Further parallels in this regard may be drawn to the use of the imperative form in the short story of Borges entitled ‘Pierre Menard, Author of the Quixote’, which effectively placed the prototype reader of this study into the fictional author’s mind and thereby brought about the desired receptive effect which Vargas Llosa was referring to in his above mentioned talk in Madrid. The similarities between the use of the image schema ‘container’ are thus evident in these cases, and also in the two related to the specific domain of ‘love’ to be discussed below. At the same time each work provides different variations on the standard, for as Hogan (2003: 73) found: “These standard cases (thus prototypes) are often altered in one or another particular in the works that are considered lasting...”. Hence Kafka’s focus on the body of an insect very much serves to create disgust and repulsion in the receptive equation of the writer-reader dynamic, while Hemingway’s image schema focus on Robert Jordan is intended to build up to the conclusion in which the ‘container’ of his body is damaged and there is a spiritual (as contrasted to the earlier sexual) unison of their containers which brings about an emotional response from the reader with regards to the civil war. Finally, the transportation into the author Pierre Menard’s mind

effectuated by Borges in his short story is of an entirely intellectual manner, fitting with his theme in the short story and his cognitive intentions in writing about the essential (and yet beautiful) futility of fiction.

In each case the effectiveness of the linguistic choices in portraying the writer's cognitive intentions to the reader is achieved by appealing to the emotional involvement of the reader in the creative writing process. Thus when Oatley (1992: 107-8) wrote that “people can mentally simulate the plans of others and understand their emotions, just as they can run simulations of their own plans...”, he also added to this the following specifying sentence that: “we need to postulate that a person can identify with a protagonist taking on goals and plans as if they were his or her own as a narrative unfolds.” On the other hand, Tan (1996: 98) concluded that an interest in narrative only exists if the receptive party is able to envision a number of possible outcomes as a result of the narrative, and also if it is continually possible to test these outcomes in terms of probability. Finally, Tan thought it necessary for a sense of progress to be made towards a closure, or what he referred to as the preferred final outcome. It is noteworthy also in this regard to consider that Hogan (2003: 166) identifies two major features which engage readers in the narrative: “The first is the ongoing appraisal of changing conditions relative to goals. The second is the activation of episodic memories.” In a fusion of these Literature Review inputs in the importance of the reader's interest in the ongoing narrative, a further question then arose from the second research question of this doctoral thesis (2: What makes for a successful and dynamic such transfer from writer to reader?). The question which developed as the thesis progressed, thereby showing that outcomes were not being predicted but rather ascertained, was the following: does a reader

subconsciously create cognitive questions with regards to the outcome of the novel during the reading process? The response in the case of the prototype reader was that this was indeed the case, and that these questions were then actively resolved in the reading process; from title, to beginning, progression and conclusion of a work of fiction. These cognitive questions, developed subconsciously in the reading process and discussed in detail in the Results and Analysis section, are thought by this study to be of central importance in what Hogan (2003: 173) refers to as the ‘orientation threshold’: “Passing beyond the orientation threshold is literally what keeps our attention. Without that we drift away, lose interest, and stop reading.”

In the case of the humorous narrative voice opted for in Nabokov’s *‘Lolita’*, the prototype reader was frequently persuaded by the author to cross the ‘expressive threshold’, which Hogan (2003: 173) refers to as the next stage in that there is then the actual expression of emotions, such as laughing, weeping, and so on. The final stage according to Hogan would be the ‘control threshold’, at which stage the reader cannot override an actional outcome brought about by emotion-selected procedural schemas. The expressive threshold was equally crossed by the prototype reader in the conclusion of *‘For Whom the Bell Tolls’*, at the aforementioned point where Robert Jordan asks his lover María to escape without him, leaving the hero of the novel behind to a certain death at the hands of the fascist forces. Despite the vastly different receptive resonances brought about by varying stylistic inputs by Nabokov and Hemingway, the reader is in both cases moved to an emotional response to the writer’s linguistic end product (wave 5). In the former case, it is the unexpected variation from the standard to have a condemned child abuser and murderer provide such humorous narrative moments, whilst

in the latter the tragic drama of a love interrupted by the Spanish civil war moves the prototype reader to an entirely emotional response.

The latter case of the image schema ‘container’ utilized to portray the intricacies of love are also seen in the love scenes of Nabokov’s *‘Lolita’* and García Márquez’s *‘One Hundred Years of Solitude’*. In the latter case, the image schema ‘container’ is employed for the heart of one of the Buendía children, José Arcadio, in his first encounter with love, signaling a steady progression in the story and causing bodily identification when the ‘container’ of the young man’s body leaves the town of Macondo to follow his first love. In *‘Lolita’*, the use of the image schema ‘container’ was found to be equally connected to the actual act of making love, but here the narrator employs it somewhat more cynically in his defense to state that it was the girl Lolita who ‘positively flowed into’ his arms, thereby showing her supposed consent to the later harrowing love-making scene which is to follow shortly. In both cases, this study found that the linguistic choice of the image schema at the writer’s productive level (wave 2 and 3) was also informed by the need to conform to public morality and thereby to the publishers (wave 4) notion of what it might be socially acceptable to print at the point in time when they were writing their novels. It is equally interesting to note here the contrasting effects which the central ‘container’ of house has upon the novel of García Márquez, as opposed to the ‘hotel’ which is an essential part of Nabokov’s novel. As has become evident in the Results and Analysis relating to both works, the worldly input (wave 1) of the respective writers played a crucial role in their linguistic choices. For García Márquez, the family house served as an inspiration from the real world and thereafter as the epicenter of his most celebrated novel, whilst the continued hotel hopping of Humbert and Lolita in Part 2 of

‘*Lolita*’ is very much indicative of the narrator’s restlessness as he drives his young victim towards a certainly tragic conclusion in the reader’s mind.

Therein, thus, lie the central responses to the research questions formulated at the start of this doctoral study. Not only do these linguistic choices by the writers contribute actively to the transfer of fiction in the writer-reader dynamic, but by provoking an emotional response from the reader they make for a successful dynamic transfer. This is what Hogan (2003: 173) refers to as the ‘orientation threshold’, which is effectively what keeps the reader interested in the ongoing narrative. If we turn at this point to the hypotheses of this study, the first and third hypotheses seem to have been confirmed by the key findings discussed here and found in detail in the Results and Analysis section. Hence, the analysis employing the ‘Wave Method of Cognitive Literature Analysis’ proposed by this study has indeed provided a systematic and structures procedural method for the analysis of the writer-reader dynamic in literature, and it has also seemed to show how this active transfer of fiction from writer to reader is successfully achieved. As the following parallel findings will show, this successful transfer is also achieved at times through a negative receptive impact.

Thus the ‘ant’ metaphor utilized to bring across gender relations between Ursula and her husband in the patriarchal society that exists in Macondo in ‘*One Hundred Years of Solitude*’ is surely not a positive mental association for the reader, except for those readers with an intense liking for ants. But in choosing this metaphor to convey his cognitive intentions whilst writing the novel, García Márquez made an entirely profound impact upon the prototype reader of this study. This impact can even be attributed to the cross-cultural input of the reader as opposed to the writer in this case. The prototype

reader brought into the reading his own (negative in this regard) worldly experiences of growing up in patriarchal societies in the Middle East where women have very few rights or are still in the process of fighting for gender equality, and this information was then important in making the fictional blend of the metaphor all the more powerful. Equally, the negative associations of the ‘container’ and ‘path’ image schemas used by García Márquez for the body of Colonel Aureliano Buendía’s as he begins to lose humanity in gaining military power is an entirely telling linguistic usage which portrays the writer’s cognitive intentions at the time of writing the novel. Here García Márquez drew upon his own worldly input (wave 1) of developing his writing skills during a tumultuous time in Colombia’s history, the terrible “La Violencia” (Martin 2011: 122) which cost a quarter of a million Colombian lives, thus making the essential emptiness of power and war in general, as well as the heartlessness of military leaders an important theme indeed. Once again, the prototype reader’s negative own worldly experiences of war in the Middle East makes for a dynamic and powerful reading experience. This negative, almost nightmarish resonance in the reading experience is comparable to the effect achieved by Borges through the usage of the ‘container’ image schema in ‘The Book of Sand’, in which the book which is so centrally activated in the reader’s receptive system through the title soon becomes a veritable trap for the narrator. The house is the container for the body of the narrator, whilst the infinite book is to become a prison for his mind. Thus Borges let his worldly input (wave 1) flow into this in order to produce the notion of change (or development) in the narrative which is so important in successful fiction.

The above summarized and compared results effectively lend answers and insight into the first two research questions, as well as confirming the first and third hypotheses<sup>76</sup> of this study. But what about the second hypothesis and the third research question, which refer to cultural identity and cross-cultural influences as being ‘crucial’ and ‘decisive’ in the writer-reader dynamic. The confirmation or negation of these questions and hypotheses formulated in the introduction to this study would seem to depend on the interpretation of these two terms. Both are strong terms, and it may be fair to state in conclusion that they have been confirmed in some of the works of this literary corpus to a greater extent than in others. Thus, for example, the aforementioned cultural identity input into the blending of the ‘ant’ metaphor used to describe the character Ursula in ‘*One Hundred Years of Solitude*’ may indeed be labeled decisive in the receptive reading experience. Equally, García Márquez displayed and to a certain extent criticized through this linguistic end product (wave 5) evidence the patriarchal society which formed part of his own cultural identity and upbringing in his grandparent’s household. What can thus effectively be seen here is an example of cross-cultural communication taking place through the means of the writer-reader dynamic.

The crucial importance of cross-cultural inputs may also be seen from Hemingway’s ‘*For Whom the Bell Tolls*’, where Spanish (and to a lesser extent French) phrases find their way into the linguistic end product. This has had a crucial impact in the writer-reader dynamic examined here on hand of the ‘Wave Method’, for as we have seen the crucial concluding sequence of the blowing of the bridge by Robert Jordan is given a

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<sup>76</sup> Namely, that the ‘Wave Method of Cognitive Literature Analysis’ provides a systematic and structured procedural method for the analysis of the writer-reader dynamic in literature; and, that successful literature dynamically transfers the cognitive impulses of the writer into those of the reader and thereby transfers fiction actively from writer to reader.

heightened sense of authenticity and real drama by the Spanish utterances mixed into an English language novel. As has been discussed in the relevant section, the extent to which this effects the reading experiences may depend on the Spanish knowledge of the reader, for only in some cases was the Spanish also translated into English thereafter (and when this was done, there was no clear indicator that it was a translation of the earlier Spanish). Hence, in the case of the prototype reader of this study, the cross-cultural influences in Hemingway's novel were indeed of a crucial importance in the writer-reader dynamic. Furthermore, the cross-domain links to the worldly input of Hemingway in the form of the paintings of Cézanne are also relevant here, for they form an important aspect of the overall resonance of the American's greatest war novel. The opening sequence of the novel in which Robert Jordan lies upon the forest floor and examines the countryside below, in which first cognitive hints as to the symbolic bridge which is at the heart of the novel are laid, is especially decisive in this regard, as is the later love-making scene in which Hemingway's resonance changes to a more free-flowing style, and yet the painterly precision of his scenes remains entirely unchanged throughout. Thus cross-cultural influences can come in the form of the writer's worldly input, as was the case with Hemingway's input from the painter Cezanne or the Nordic literary input discussed in the section on Borges which he attributed to the mysterious resonance of his stories, or they can also come in the form of the reader's worldly experiences or knowledge.

There is also a further option in that there can be direct cross-cultural interaction between characters from different cultures within the novel or work of fiction itself. This is the case in *'For Whom the Bell Tolls'*, in that Robert Jordan is an American who is clearly in a tense battle with his Spanish antagonist Pablo, although they are supposedly

working for the same common goal of defeating the fascists in the Spanish civil war. In many instances this tension is portrayed in the form of dialogue, which as this analysis has found was an astute cognitive choice on the part of the writer. For as Stockwell (2009: 25) found: “Human speakers (because of their activeness) are better attractors than a description of a hearer.” Tension-filled dialogues in this novel served, then, to create authenticity because of their centrality to everyday human life, and also to showcase cross-cultural differences and thereby heighten the tension as the novel moved towards a dramatic conclusion. What this would seem to confirm in this specific case is not only the above mentioned hypothesis, but also what Hogan (2003: 79) found when he wrote that “radical innovation in the last three centuries – from Goethe through Picasso – has been bound up with cross-cultural influences.” This viewpoint of Hogan and the above mentioned results would seem to confirm the link presupposed by the hypothesis that cross-cultural influences decisively shape cognitive and linguistic choices, and therefore also affirm the research question that these indeed play a crucial part in writing cognitively and creatively.

As stated previously, the findings of cross-cultural importance in the writer-reader dynamic varied according to the writer in question, and there are various factors to keep in mind in this regard. The writer’s worldly input in the form of literature or arts may be one of the most obvious, as indeed are the writer’s experiences of living or working abroad. This was the case for example in the work of Nabokov, as the analysis found that the highly authentic details of Humbert’s hotel-hopping with Lolita in Part Two of the novel was indeed largely due to his own travels across the country with his young son. And the same can be said of the accumulated impressions and experiences of Hemingway

in his work as a war correspondent writing from Spain during the Spanish Civil War. In stories such as ‘Metamorphosis’ and the two Borges stories examined, as well as the unique setting of Macondo, the writer seems to have chosen a setting of the novel which could be referred to as being closer to the writer’s own cultural identity, but as has become evident this does not necessarily mean that there is not a cross-cultural impact of significance in the writer-reader dynamic in such cases. What can be said is that for the prototype reader employed in this study, the works of with the greatest degree of cross-cultural significance were ‘*For Whom the Bell Tolls*’ and ‘*One Hundred Years of Solitude*’, but this degree may and surely should differ according to the worldly input of the reader (at wave 6). This could be one aspect of the quantitative further studies which will be recommended here shortly.

Before moving on to these recommendations, though, there is one further element of cross-cultural impact in the writer-reader dynamic which has not yet been discussed, and which was found by this study to be of importance. In the first work analyzed, it was mentioned that the English translation of Kafka’s originally German-language ‘Metamorphosis’ employed a translation of ‘monstrous cockroach’ for the German ‘ungeheures Ungeziefer’. The translator interviewed for this study, Bernárdez, found in this regard that:

“I think in that case, the translator has done too much, because Kafka never wanted any particular animal to be identified. So if the translator writes cockroach, then the interpretation of the whole story is being led in a certain direction, so that you identify the animal already at the

beginning. That is wrong; I think ‘bug’ or something would have been a better translation. I don’t know how it is in the Spanish translation, but I think they use a word like ‘insecto monstruoso’ or something like that. This is much better. Otherwise the translator is guiding you too much in a certain direction.”

What emerges from this example, which is found in this study to be of central cognitive importance in a receptive regard due to the central nature of the insect in this story, is that the translator (wave 4) and by extension publisher can have an equally important cross-cultural input in the writer-reader dynamic. Thus for example the German language reader of this story would have one particular cognitive activation and association, depending also upon his or her worldly experiences, whilst the English language reader will necessarily have another, in this case more specific, activation. In bringing a piece of fiction to a far broader audience, the work of the translator is indeed of much importance in the entire creative writing equation, but it may also effect a different cognitive reading experience in different languages, and by extension different cultures.

Thus this study has found the above mentioned results to be of great importance, but it is equally vital here to point to the limitations of the current research project. In attempting to analyze literature from a cognitive and linguistic point of view, it has here been seen that the ‘Wave Method’ presented has not only a firm grounding in existing linguistic theories, but can also provide a valuable form of coming to what seems to be an accurate interpretation of the writer’s cognitive intentions in penning a particular work of fiction. Asked about the importance of cognitive literary studies in the larger sphere of

cognitive linguistics, the director of this doctoral thesis and important scholar in the field Bernárdez responded in the following way: “It will work for some 20 or 30 years, and then something new will come; history. I don’t know if people have tried to do anthropological literary studies, from a cognitive point of view, so there are many things to be done. But they will pass, as everything.”

Indeed, as everything must pass, so this doctoral thesis must come to a conclusion. In doing so, the here preceding pages have taken the reader’s receptive impulses as the starting point for a cognitive and linguistic analysis which also places a great emphasis on the linguistic end product (wave 5). But the limitation here is clearly that only one, aptly named prototype reader has been the basis for this study. Thus, further leading studies may indeed be of a quantitative nature and thus develop clear trends according to various groups of readers and their cognitive reactions to particular works of fiction. Another limitation here has been that only one (or two in the case of Borges) work has been examined from each author, and that these authors were all male writers. A further study recommendation would therefore be to extend the quantitative work to female authors too, with works such as those masterful ones of Virginia Woolf or Isabel Allende already identified by the current author as potential writers to include in this regard. In doing so, a gender related receptive analysis could be brought about, with cultural identity – that factor already discussed here on hand of the prototype reader – a possible further area of focus in terms of the readership.

Finally, the interview conducted with the literary agent Roberto Dominguez Moro of the ACER Literary Agency in Madrid offered the following insights into the growing role

of both the literary agent in the creative writing process in Spain in specific terms, as well as the generally growing importance of the digital era in the publishing process:

“At first we were just intermediaries. Above all, what we did in Spain was to bring works from outside, because it was difficult to obtain them, especially in times of Franco’s dictatorship. Now the importance of the literary agent is growing all the time, and more and more authors are confiding directly in an agent and the agent then takes this work to the publishers. This agent work now also includes legal and economic advice, and normally it is the case that the more the authors know about literature, the less knowledge they have about these issues. To give you an example: last September, the magazine ‘*Granta*’ gave out a special edition with the best Spanish writing authors under 35 years, and in November only one of those 22 authors didn’t have an agent. Now all of them do, I believe. So, this gives an impression of the importance of the agent nowadays. And now there is also the additional input of advising them on how to act in the digital era; social networks, E-Books, and so on.”

A final recommendation for these promising further study projects in the domain of cognitive literary studies would therefore be a consideration of how the digital era affects both the writer in the creative process, as well as the reader in the receptive part of the writer-reader dynamic. In particular, a focus may be placed in this regard on the potentially lower attention span, and therefore reduced attention threshold, produced by the influx of information and entertainment

opportunities as well as reading habits brought about by the ‘internet age’. For if as this study indeed seems to have confirmed a successful writer writes to be read, then the linguistic end product of the writer’s black words on white paper certainly also extends to the vast and exciting possibilities of the digital era. In this regard the availability of the novel ‘Selfishness’ by the author of the currently concluding study as an E-Book on Amazon.com<sup>77</sup> is indicative of the vast creative possibilities and research opportunities which this rapidly expanding publishing field<sup>78</sup> offers to aspiring and experienced creative writers and researchers alike.

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<sup>77</sup> ‘Selfishness’ by Matthias Krug was launched in electronic reading format on September 1<sup>st</sup> 2011 and is now available as an E-Book for 3.95 Euros at: <http://www.amazon.com/Selfishness-ebook/dp/B005KN8388>

<sup>78</sup> Article published in El Pais English on 17<sup>th</sup> September 2011: <http://blogs.elpais.com/trans-iberian/2011/09/welcome-e-book-goodbye-bookshelves.html> .

Extract: “So is a complete shift to the digital domain likely in the coming decades? Will a one-click buy and instant read at home eventually make that regular visit to the bookshop a rarity? And can bookshops continue to cope with the speed, flexibility and pricing of their online counterparts?”

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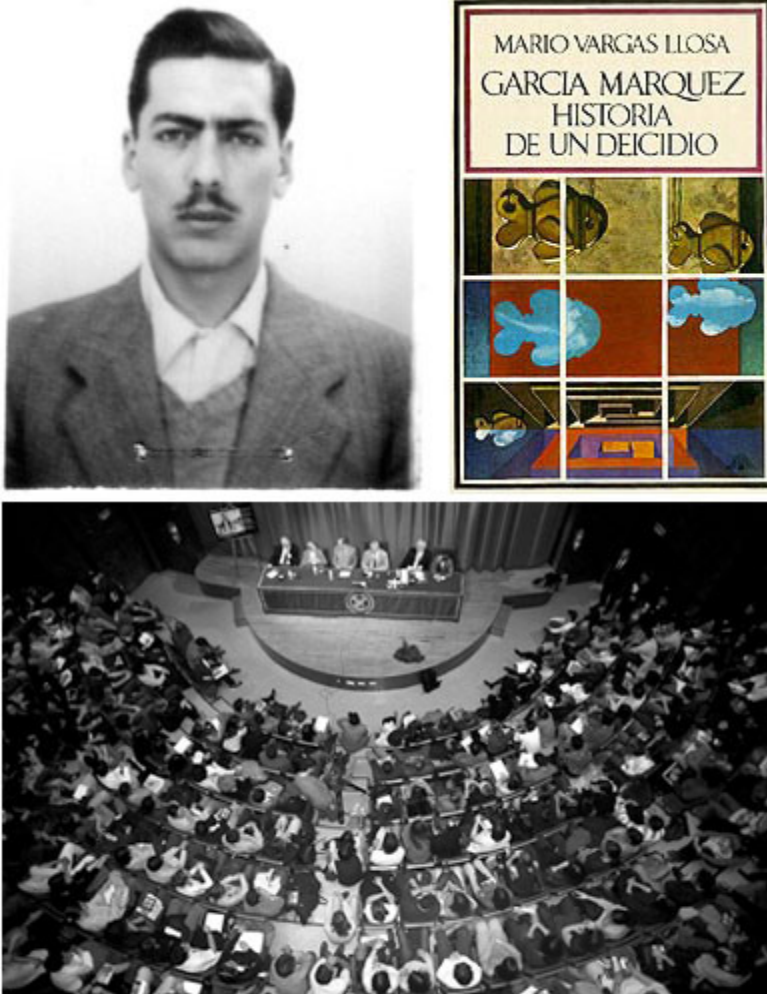
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## **7. Appendix**

Appendix 1: Article on Mario Vargas Llosa being awarded the Nobel Prize in Literature 2010. Accessed on [www.ucm.es](http://www.ucm.es) on October 23<sup>rd</sup>, 2010.

Link:<http://www.ucm.es/pags.php?tp=Vargas%20Llosa,%20Premio%20Nobel%20de%20Literatura,%20antiguo%20alumno%20de%20la%20Complutense&a=directorio&d=0022874.php>

**Vargas Llosa, Premio Nobel de Literatura, antiguo alumno de la Complutense**



Vargas Llosa en su fotografía de estudiante de la Universidad Complutense (1958-1960). A la derecha, portada del libro basado en su tesis doctoral. Debajo, conferencia de Vargas Llosa en la Facultad de Filosofía.

Mario Vargas Llosa, Premio Nobel de Literatura 2010, se doctoró en la Universidad Complutense con sobresaliente *cum laude* en 1971.

Vino a la Complutense con una beca de estudios para hacer el doctorado y se le convalidó su título de Bachiller en Literatura por la Licenciatura en Filosofía y Letras, sección Filología Románica. Hizo el doctorado durante los cursos académicos 1958-1959 y 1959-1960.

Dirigió su tesis doctoral el profesor Alonso Zamora Vicente y la presentó el 25 de junio de 1971. La brillantez del resultado quedó avalada con la más alta calificación y es de dominio público, porque la investigación –*García Márquez: lengua y estructura de su*

*obra narrativa*– fue editada y puesta a disposición y disfrute de todos los lectores con el título –más sugerente, más luminoso, más literario– de *García Márquez, historia de un deicidio*. Una obra magnífica, ejemplo de la mejor crítica, que pone de relieve el portentoso talento literario de los dos autores, el crítico y el criticado. Dos colosos de la literatura en lengua española que muchos años después tienen en común, con todo merecimiento, el Premio Nobel de Literatura.

La Universidad Complutense de Madrid felicita a Mario Vargas Llosa y expresa su satisfacción por contar con un Premio Nobel más entre sus alumnos.

Estudiaron también en la Complutense los Nobel Severo Ochoa, Santiago Ramón y Cajal –ambos fueron, además, profesores–, Camilo José Cela, Vicente Aleixandre y Jacinto Benavente. José Echegaray, Nobel también, fue asimismo docente complutense. Con Vargas Llosa son ya por tanto siete los Premios Nobel que han pasado por sus aulas.

La Academia sueca ha concedido el Nobel a Vargas Llosa "por su cartografía de las estructuras del poder y sus imágenes mordaces sobre la resistencia, la rebelión y la derrota individual."

Entre los títulos de su extensa obra destacan las novelas *La ciudad y los perros*, *Conversación en La Catedral*, *La guerra del fin del mundo*, *La Casa Verde* y *La fiesta del Chivo*, así como el libro de memorias *El pez en el agua*.

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Appendix 2: Interview conducted on September 3, 2010 for the purpose of this PhD study with the Publisher Andy Smart, of Bloomsbury Qatar Foundation Publishing.

1) On hand of your own lengthy experience in the publishing industry, could you give an insight into just how important the publisher's editing stage (Wave 4 in theory above), is in the Creative Writing process. That is, have your experiences mainly shown this stage to bring about major changes in the writer's work, and if so, what kind of changes were these (grammatical, plot changes, character additions, etc)? Can you give any striking examples of such changes?

*AS: The publisher’s input into the creative process varies enormously across genres, and from writer to writer. Some very high profile adult fiction writers effectively write only the plot, while the publishing house may then commission an ‘editor’ to write the text. Many children’s picture books are the product of close editorial direction by the publisher, who has an ongoing dialogue with the writer and the illustrator during the development process. In addition, for many writers working in large publishing ‘industries’ such as the UK, the agent may also play a significant editorial role, helping to prepare the MS for submission to publishers.*

*Also see: <http://cba-ramblings.blogspot.com/2009/06/how-much-editing-can-agent-do.html>*

2) Would you agree then that the writing process involves another major cognitive player apart from the author and the reader – the publisher? And how many people and stages are usually involved in this publishing process from transforming the author’s idea into the linguistic end product in the form of the novel?

*AS: MSS submitted to publishers may be read and commented on by several people before being accepted. Many publishers will commission two reader’s reports on new works of fiction, after having looked at the text quickly themselves. Once accepted, the MS may then be edited at two different levels – structural/developmental editing and then text/copy editing.*

3) In your time in the publishing business, have you made out a cognitive shift on the part of the publishers in general? Can it be said that the internet age and associated shorter

attentions spans of potential readers (wave 6 in theory above) have led to a process of change in the publishing industry? Perhaps a shift towards more ‘saleable’ books – star autobiographies and so on - rather than purely literary novels (at wave 5)?

*AS: My own experience is too fragmented – in different areas of publishing including educational, children’s and general – to be able to comment in detail. However, it is clear to anyone in the publishing industry that commercial priorities and an increasing speed of production have characterized developments in the past 25 years. I would agree that more ‘saleable’ books are being published today, but not at the expense of literary works. I don’t think shorter attention spans, if the premise is correct, have impacted on the breadth of publishing. Likewise, I am sure that there are as many ‘difficult’ novels published today as there ever were.*

4) Have you noticed a trend for authors to opt for shorter novels, shorter chapters, even shorter sentences (at wave 2) to conform to new audiences? What about opting for more direct action and less descriptive passages? Have publishers been involved in this process? If not, do you think this could be an option in the coming years?

*AS: Hmm, very difficult to say. I would think that over the past 100 years sentences have become shorter, probably under the influence of other media including newspapers. I don’t think there is a parity between shorter sentences and shorter books, let alone chapters. I doubt if the length of sentences can be attributed to publishers’ interventions – this is a general cultural shift. If anything, longer books may be more publishable now than ever, because production costs play a smaller part of the selling price than they*

*would have a generation ago. Relatively more costs are now taken up by overheads, retail discount, agents' fees etc.*

5) The publishing industry is supposedly facing tough competition from the internet. Do you agree with this assessment? And how do you view recent trends like the E-book, and online interactive books: is your publishing house evaluating its catalogue according to such new trends?

*AS: Of course, on both counts. All publishers need to be aware of digital challenges and opportunities.*

6) Is there a focus on your part on perhaps utilizing social media like Facebook and Twitter to publicize works or even create ‘online’ novels? And how do you aim to connect with young readers who may be biased towards the internet and its many entertainment options?

*AS: Yes, social media are vital. Breaking through to popular websites is the best kind of PR, being apparently uninfluenced by the publishers and therefore more ‘trustworthy’. The web offers opportunities for PR, marketing and sales.*

7) What advice do you have for aspiring young authors from a publisher’s point of view? Is there any cogno-linguistic message to be conveyed to the forming author of what may now become the most successful style and form of fiction writing?

*AS: No comment!*

8) Do you have any tips for the first time novelist at the writer’s editing stage (wave 3) on what might make for important improvements and writing-specific aspects which can interest the publisher?

*AS: To the writer: write with passion, edit with passion!*

8) Which types of fiction writing and books in general are you currently looking out for with the most interest for your catalogue?

*AS: Writers who will appeal to our audiences in the Arab world and beyond. Can’t be more specific I’m afraid!*

9) What ingredients, in your eyes, make for successful fiction writing? That is, which elements make for a successful cognitive transfer of fiction writing from writer to reader?

*AS: The usual ingredients: plot, character, dialogue, setting, voice, style*

**Many thanks for your time and for your insights into the world of publishing.**

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Appendix 3: Interview conducted on September 7, 2010 for the purpose of this PhD study with the Publisher Kathy Rooney, of Bloomsbury Qatar Foundation Publishing.

Questions for Kathy Rooney:

1) On hand of your own lengthy experience in the publishing industry, could you give an insight into just how important the publisher’s editing stage (Wave 4 in theory above), is in the Creative Writing process. That is, have your experiences mainly shown this stage to bring about major changes in the writer’s work, and if so, what kind of changes were these (grammatical, plot changes, character additions, etc)? Can you give any striking examples of such changes?

KR:

There are two main types of editing: structural editing which looks at the broader elements of the work and copy editing which focuses on grammar, spelling, consistency etc.

Books usually go through both stages.

2) Would you agree then that the writing process involves another major cognitive player apart from the author and the reader – the publisher? And how many people and stages are usually involved in this publishing process from transforming the author’s idea into the linguistic end product in the form of the novel?

KR: I have never thought of the publisher as a cognitive player. The publisher contributes the following main elements which take the book from the individual sphere of the writer to the public sphere of the reader: editorial, design, production, sales, marketing, publicity, distribution.

3) In your time in the publishing business, have you made out a cognitive shift on the part of the publishers in general? Can it be said that the internet age and associated shorter attentions spans of potential readers (wave 6 in theory above) have led to a process of change in the publishing industry? Perhaps a shift towards more ‘saleable’ books – star autobiographies and so on - rather than purely literary novels (at wave 5)?

KR: I don’t quite understand what you mean by cognitive shift. Publishing operates as a business in the commercial sphere which is constantly changing – and always has. There are many different types of book not just the star biographies and literary novels that you mention above. Publishing is a good example of a pluralistic business which has for decades encompassed the highly commercial, the literary as well as educational and academic or reference publishing.

4) Have you noticed a trend for authors to opt for shorter novels, shorter chapters, even shorter sentences (at wave 2) to conform to new audiences? What about opting for more direct action and less descriptive passages? Have publishers been involved in this process? If not, do you think this could be an option in the coming years?

KR: Can’t really say – some writers write long sentences and some write short sentences. What matters is the writer’s voice and what is said.

5) The publishing industry is supposedly facing tough competition from the internet. Do you agree with this assessment? And how do you view recent trends like the E-book, and online interactive books: is your publishing house evaluating its catalogue according to such new trends?

KR: Ebooks are taking off. Bloomsbury and BQFP both publish books in ebook format.

6) Is there a focus on your part on perhaps utilizing social media like Facebook and Twitter to publicize works or even create ‘online’ novels? And how do you aim to connect with young readers who may be biased towards the internet and its many entertainment options?

KR: Facebook, Twitter and other social networking sites are important marketing channels for publishers, writers and books.

7) What advice do you have for aspiring young authors from a publisher’s point of view? Is there any cogno-linguistic message to be conveyed to the forming author of what may now become the most successful style and form of fiction writing?

KR: Again I have problems with cogno-linguistic. A successful writer needs to have a distinctive voice and to write something that many people wish to read.

8) Do you have any tips for the first time novelist at the writer’s editing stage (wave 3) on what might make for important improvements and writing-specific aspects which can interest the publisher?

KR: Each book is different so I can’t give general tips although there are books and online information sites which do.

8) Which types of fiction writing and books in general are you currently looking out for with the most interest for your catalogue?

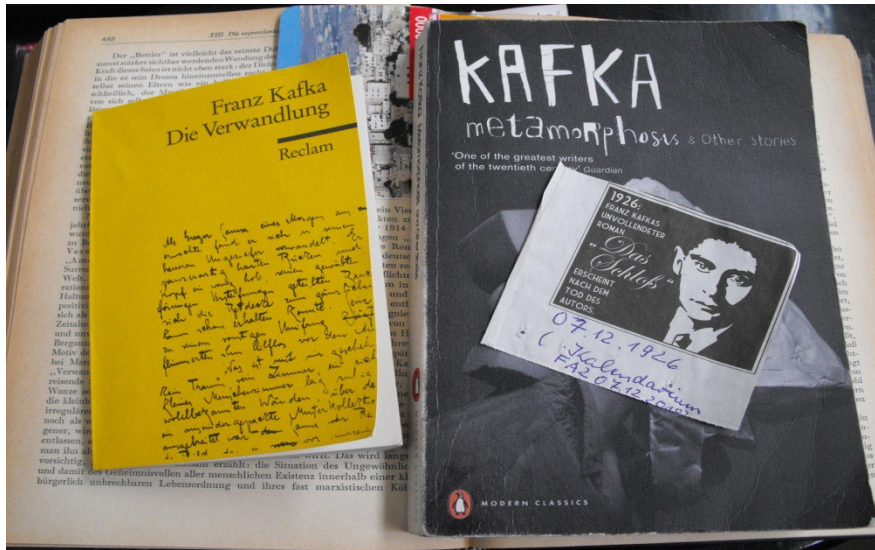
KR: Good ones.

9) What ingredients, in your eyes, make for successful fiction writing? That is, which elements make for a successful cognitive transfer of fiction writing from writer to reader?

KR: See above.

**Many thanks for your time and for your insights into the world of publishing.**

Appendix 4: The picture taken on 28.12.10 during research in Cologne, Germany, shows Kafka’s short story ‘Metamorphosis’, which forms part of the corpus of the analysis of this thesis, in both German original handwriting (on front cover, left, as well as English translation on right). Additionally, the newspaper cutout from the daily Frankfurter Allgemeine Zeitung shows the announcement of publication dated 07.12.1926 of Kafka’s posthumously published novel ‘The Castle’.



Appendix 5: Museo Reina Sofia, Madrid. The exposition ‘Nabokov Butterfly Boxes’ by Barbara Bloom, picture taken on the 28<sup>th</sup> of November 2010.

Caption states: “Nabokov’s diary for September 16-19, 1954...He still planned to publish the book pseudonymously and was apprehensive that it might be found.”



Appendix 6: Presentation of Umberto Eco's novel 'El Cementerio de Praga' in the Universidad Complutense de Madrid. Accessed on [www.ucm.es](http://www.ucm.es) on 15.12.10: <http://www.ucm.es/pags.php?tp=Umberto%20Eco%20presenta%20su%20%FAltima%20novela%20en%20el%20Parainfo%20de%20la%20Complutense&a=directorio&d=0023156.php>

## ***Umberto Eco presenta su última novela en el Paraninfo de la Complutense***



Treinta años después de publicar *El nombre de la rosa*, la editorial Lumen acaba de editar en España la sexta novela de **Umberto Eco**, *El cementerio de Praga*.

El escritor italiano la presentó el martes 14 de diciembre en el Paraninfo de la Universidad Complutense de Madrid con un éxito sin precedentes, ya que no sólo llenó el salón sino que además unas cuantas decenas de personas se quedaron fuera sin poder escucharle.

Participaron en la presentación **Jorge Lozano**, catedrático de Teoría de la Información; **Silvia Querini**, editora de Lumen; y el rector **Carlos Berzosa**, que agradeció a Eco su labor semiótica, literaria y ensayística. De hecho, reconoció que gracias a uno de sus artículos había comprendido por qué los italianos votaban a Berlusconi.

En *El cementerio de Praga*, como explicaron tanto el autor como Jorge Lozano, el lector se va a encontrar a un protagonista repugnante que odia a todo el mundo, desde las mujeres a los masones, a los comunistas y, por supuesto, a los judíos. Especialmente a los judíos.

Lozano explicó que en la novela, traducida al castellano por Helena Lozano, “está todo Umberto Eco, desde sus más leves ensayos iniciales hasta su gran teoría semiótica”. El autor italiano bromeó y dijo que además de eso es una novela muy divertida en la que se pueden encontrar ritos satánicos, conspiraciones y una historia de espionaje. De hecho, los secretos son una parte importante de la novela. Eco aseguró que su protagonista vende los mejores secretos, que son aquellos que ya se conocen. De acuerdo con el escritor, es lo mismo que ocurre con Wikileaks, “que cuenta todo lo que se sabía ya”.

Según el autor de *El cementerio de Praga*, las principales víctimas de Wikileaks no son los mandatarios de los que se habla, sino el propio Julian Assange que es quien ha acabado pasando por el juzgado.

Otro de los grandes temas que impregnan la novela es la falsificación, los falsos, desde el rol que adopta el personaje principal hasta la aparición del libro *Los protocolos de los sabios de Sión*. Jorge Lozano señaló que además Eco es “una enciclopedia, con una capacidad deliciosa de hacer taxonomías y listas”.

La novela, que está inspirada en el estilo de los folletines del XIX, incluye personajes del mundo real. Entre nombres como los de Freud y Garibaldi aparece un único español: Mendizábal.

**En las imágenes, Umberto Eco con el rector Carlos Berzosa y una vista del Paraninfo durante la presentación.**

Appendix 7: Photography taken by Matthias Krug during the event ‘Conversacion en la universidad’ of 2010 Nobel Prize for Literature winner Mario Vargas Llosa, on 04.05.2011.



Appendix 8: The interview with Cat. Dr. Enrique Bernárdez conducted for the purpose of this PhD study in the Universidad Complutense de Madrid on May 18, 2011. Below the transcription of the interview is an extract of the works translated by the Director of this doctoral thesis.

1) In the English translation of the ‘Metamorphosis’ studied in this doctoral thesis, the translator has chosen to translate ‘ungeheures Ungeziefer’ as ‘monstrous cockroach’. Do you think in light of this example that the translator has a key input in the cognitive reading experience and its variations across languages?

EB: “I think in that case, the translator has done too much, because Kafka never wanted any particular animal to be identified. So if the translator writes cockroach, then the interpretation of the whole story is being led in a certain direction, so that you identify the animal already at the beginning. That is wrong; I think ‘bug’ or something would have been a better translation. I don’t know how it is in the Spanish translation, but I think they use a word like ‘insecto monstruoso’ or something like that. This is much better. Otherwise the translator is guiding you too much in a certain direction.

2) In the course of your vast experience in dealing with authors and publishers in your award-winning translations, how have these actors in the fiction process influenced your work?

EB: Well, sometimes since the editors try to press you to translate in a certain way, to change certain things. But I never let them convince me, I had strong discussions with some of them. The translator cannot add whatever has not been written by the author. So if the author decides to write a paragraph in a certain way, using certain words, this is something you cannot simply change. This is something that Spanish editors very frequently ask you to do. You cannot change the style for instance into a neutral literary style. Of course I’m in a privileged situation because I’m not a professional translator who lives from it, but for many translators it is horrible because they are asked to do something that the author didn’t want to do; to explain many things that the author didn’t want explained, and so forth.

3) What about the contact with the writer during the translation process?

EB: Well, yes. When I translated from Icelandic I translated six books by Guðbergur Bergsson (), who is a very difficult writer and also a translator, I have been in touch with him. When there is something you just cannot guess what it means, or what is the intention. But usually writers are very much conscious of the work of translation, so that they do not want to interfere. This is the bad thing, when you are translating something from the Middle Ages; there is no way to get in touch with the author.

4) To what extent may the reader be reading the translator’s writing rather than the writer’s writing?

EB: This is something very interesting, because there is now the tendency to avoid any reference to the translator, so that you may think that the book has been originally written in English. There is a book about ‘The invisibility of the translator’ on this topic in American and British translation. Editors sometimes simply do not include the name of the translator, critics sometimes make no reference to the book being a translation, but of course that is false, that is not true, that is a lie, that is misleading for the reader too. In Spain there is also the tendency to judge the translation as if it were not a translation. So you have something very funny; critics talking about the language of the author, when it is the language of the translator. They have no idea whatsoever of how the original was. This makes no sense, you cannot say anything about the language of the translation without having in mind that it is a translation.

5) How does it feel to be invisible as a translator in comparison to your own books such as ‘El Lenguaje como Cultura’?

EB: A Russian translator said that when you’re translating, you’re not completely responsible for everything, and so you’re working for someone else. That is quite nice from time to time. I like being a translator, because then I can step back and look at the book and the reactions, but then it’s not your work. So it’s quite nice, I like that.

6) Was it different to translate famous authors like Hans Christian Anderson in comparison to some of the more unknown writers?

EB: Both things have its positive parts. If you’re translating someone who is very famous, you somehow share that fame, and people respect you more because you’re translating an author they know. But I also like to be the first one to translate a book, even if the writer is not known at all, because it gives you some kind of proximity to the author. If there is no first translator, there is no translation.

7) How do you see the importance of the translator in the reader-writer dynamic, in helping to reach a broader readership?

EB: Of course if you have a writer who uses his own language, let’s say Icelandic, which is the language I translate from, only 300,000 people would be able to read. Of course translation is absolutely necessary, also for writers in the language you’re translating to, because let’s say Spanish would be writers need examples in other languages. But most of these writers can manage with French and or English these days, but apart from that they need translations to have new models. Sometimes this can be problematic, something that has been studied and mentioned many times: the first translations of Faulkner, Joyce and so on, were very bad translations in that they were completely adapted to the Spanish literary style. There is nothing strange, nothing that is not literary as it should be. And so many Spanish writers thought they were learning to write Faulkner style when they were reading these translations. So, of course they didn’t do

anything new, or anything that was not done in the 19<sup>th</sup> Century. So the translation is very important, because you can't expect everyone to read all the foreign authors in their languages.

8) Finally, how do you see the importance of cognitive literary studies in the general field of cognitive studies which you are an expert in?

EB: Well, there are many interesting things, especially when people try to use not the concepts and methods, such as the conceptual metaphor by itself, to study literary texts, but instead try to think how you can look at literature from a cognitive point of view. With everything that cognitive means and connotes. If you just take the conceptual theory of metaphor and try to find metaphors in 'A la recherche du temps perdu' you'll find thousands and thousands of metaphors that everybody has noticed before. So if you are creating, and try to think in a different way, which is the important way, then it is extremely useful.

9) And how do you see the development of cognitive literary studies in the coming years?

EB: It will work for some 20 or 30 years, and then something new will come; history. I don't know if people have tried to do anthropological literary studies, from a cognitive point of view, so there are many things to be done. But they will pass, as everything.

Thank you very much for your time.

Appendix 9: The interview with Roberto Dominguez Moro, Literary agent at ACER Literary Agency Madrid, May 18, 2011. Below the transcription of the interview is an extract of the works translated by the Director of this doctoral thesis. Transcript follows.

1) Could you tell me a little bit about this literary agency and its significance in the literary scene in Spain?

RDM: This is the oldest literary agency in Spain. It was founded in 1959, so we recently had our 50<sup>th</sup> anniversary. I've been here for five years or so. We have around 25 Spanish authors at the moment, among them some of the leading Spanish writers of the moment such as Lorenzo Silva, and we also handle foreign rights for authors such as Umberto Eco or the Nobel Prize winner Hertha Mueller.

2) What is the importance in your opinion of the literary agent in the creative writing process?

RDM: It depends on the author. There are some who are very professional and very orientated towards the market, and of these there are less and less; all their livelihood depends on this. So the agent in this case must act as a detector of tendencies, topics, all

of what will motivate the author to sell the book to publishers. Then, with more literary authors, the agent doesn't influence so much the style as the confidence of the author, because we're usually the first to read the manuscript. For the more literary authors, it is important to keep a certain distance, because you can't guide him towards a certain path as the author himself knows best where the work is supposed to go. As the relationship is so personal, it depends on the author very much.

3) Taking into account your experiences, do you think the importance of the literary agent has grown in recent years?

RDM: Of course. At first we were just intermediaries. Above all, what we did in Spain was to bring works from outside, because it was difficult to obtain them, above all in times of Franco's dictatorship. Now the importance of the literary agent is growing all the time, and more and more authors are confiding directly in an agent and the agent then takes this work to the publishers. This agent work now also includes legal and economic advice, and normally it is the case that the more the authors know about literature, the less knowledge they have about these issues. To give you an example: last September, the magazine 'Granta' gave out a special edition with the best Spanish writing authors under 35 years, and in November only one of those 22 authors didn't have an agent. Now all of them do, I believe. So, this gives an impression of the importance of the agent now. And now there is also the additional input of advising them on how to act in the digital era; social networks, E-Books, and so on.

4) Could you tell me a little about the importance of the E-Book in your work?

RDM: Well, in the past year or so we were negotiating the digital rights for Lorenzo Silva. He is very well integrated in the digital era – he has his own website, his own blog, and he understands and has his own opinions on the subject, but of course to negotiate with the publishers about the digital rights is something different. So what the author wanted was to have the E-Books available at a cheaper price than the normal paperback books, and this was what happened in the end. His books are now available in digital format between 4 and 6 Euros. This is the kind of work we are doing at the moment. We're also negotiating all the digital rights for all our already existing authors, with caution still, working with short term contracts because we don't know how the market will evolve, but all the books we have need to be negotiated to transfer them to E-Book, Kindle, and so on. The old contracts didn't have any provision to work in any format which was not paper, so now there have to be made annexes to the contracts. In a place like this there might be 15,000 contracts, so it's an important work. Once we have our entire catalogue up to date, then it won't be just as much work because then new contracts will be made taking into account the digital rights.

5) What are the specific mechanisms of introducing changes in a writer's work based upon the reading and assessment done here?

RDM: We are 10 people, and 5 of those are dedicated to reading works. When an author comes to us with a finished work, we first read it and the three or four people who read it

give out a report about the work, and give their opinion to the author; how they see the work, characters, topics. So if the three or four readers agree that a part of the work is not good, a scene is not well written, or should be taken out, if a character doesn't have the necessary depth, then this is communicated to the author, and the author usually tries to work on this aspect. This is the process. It's not one opinion, but various people giving the input to the writer. Then the writer usually makes the changes that we find are necessary.

6) Do you have any examples of specific linguistic changes during this process?

RDM: There are authors who have a creative process that is more centered in the plot than in the language. So we have authors who lose perspective in the verbal tenses; one of the most important mistakes is that the structure of tenses does not always match in the narrative. Then also the concordance between characters and their actions, but of course every author is their own world, so there are different things which we correct for each specific case.

Many thanks for your time!

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