Literary interpretation as a dialogue between positions

La interpretación literaria como diálogo entre posiciones

Paula-Reyes Álvarez-Bernárdez
Universytet Mikołaja Kopernika (Torun, Polonia)
https://orcid.org/0000-0002-0769-6421

Carles Monereo
Universitat Autònoma de Barcelona (España)
https://orcid.org/0000-0001-7447-985X

Abstract

The interpretation of a reading is a dialogical act, a meeting place of different voices that converge in the reader’s mind. Among those voices, are the ones that the reader recognises in the work itself—characters, narrator, author—as well as the others that he invokes and whose origin lies in previous experiences and knowledge—his own voices, voices of close people, voices of other authors and characters, etc. All of them model the thoughts and decisions of the reader and guide him in his interpretation and understanding of the work. But those voices do not always live in harmony and can be in conflict, confronted, opposed. It is in this dialogical dynamic where the most central voices that integrate others become especially relevant since the final interpretation of the reader will depend on them. The study we present aims to offer an integral and comprehensive explanation of the process of literary interpretation based on a review of the dialogic perspective of Mikhail Bakhtin (and Huber Hermans). Both define the good reader as a conscious and active agent when facing a complex reading activity, such as literature.

Resumen

La interpretación de una lectura es un acto dialógico, un espacio de encuentro de diferentes voces que confluyen en la mente del lector. Entre esas voces, se encuentran las que el lector reconoce en la propia obra—personajes, narrador, autor— así como aquellas voces que invoca y cuya procedencia reside en experiencias y conocimientos anteriores, por ejemplo: voces propias, voces de personas cercanas, voces de otros autores y personajes, etc. Todas ellas, modelan los pensamientos y decisiones del lector, y lo orientan en su interpretación y comprensión de la obra. Pero esas voces no siempre conviven en armonía, sino que pueden aparecer en conflicto, enfrentadas, contrapuestas. Es en esa dinámica dialógica donde cobran especial relevancia las voces más centrales que integran a otras, pues de ellas dependerá la interpretación final del lector. El estudio que presentamos pretende ofrecer una explicación integral y comprensiva del proceso de interpretación literaria a partir de la revisión de la Perspectiva Dialógica de Mijaíl Bajtín y de la Teoría del Yo Dialógico de Huber Hermans. Ambas definen al buen lector como un agente consciente y activo cuando afronta una actividad lectora compleja, como es la literaria.
Introduction

The moralist in me avoided the problem by sticking to conventional notions of what a twelve-year-old girl should be. On the other hand, the child psychotherapist in me (a masquerader, as most of them... but this is not the point now) paid some kind of Neo-Freudian lip service and conjured up a dreamy, unbridled Dolly, in the "latency" period of her childhood. Finally, the sensualist in me (a great crazy monster) had no objection to a certain depravity in his prey [...] Because every night —each and every night— Lolita would burst into tears while I pretended to be asleep (Nabokov, 2018, pp. 153-217)

Over time, numerous interpretations have been made of Vladimir Nabokov’s work, Lolita: a story of love and/or absence thereof, a hymn to freedom against puritanism, a stereotyped, objectified, erotic novel. Some of these interpretations have also had a social impact that goes beyond the novel and their influence extends to parents trying to prevent their children from meeting Dolores Haze —not a good educational reference— considerations based on the inspiring sensuality and femininity evoked by the character, or fashions and trends based on the assumption of a certain made up stereotype. This is the only to understand the term “lolita” can be understood as “seductive and provocative adolescent” (Real Academia Española, 2019); “adolescent woman, attractive and who provokes sexual desire” (Clave Dictionary, 2012); “a sexually precocious young girl” (Oxford English Dictionary, 2020).

However, far from the interpretations and considerations above, in an interview conducted by Bernard Pivot for a French television programme, Nabokov warned as early as 1975 that, above all, "Lolita is not an evil child. She is a corrupted poor child whose senses never withstand when caressed by filthy Mr. Humbert [...] Apart from her manic gaze, she is no nymphet. Lolita, the nymphet, only exists in the obsession that destroys Humbert. This is an essential aspect of a singular book that has been faked by an artificial popularity".

We have selected a text that is worth double its value for our study: On the one hand, it neatly shows the problems that arise around literary interpretation, either because this is done on the basis of a linear reading, because it starts from an unfounded discourse that moves away from the main purpose of the work or because, as we will see hereinafter, the reader’s perspective is superimposed on that of the character or vice versa, generating an “overinterpretation”. Nevertheless, the text itself is useful to reflect how we version ourselves, that is, how we build different representations of ourselves -as a moralist, as a psychotherapist, as a sensualist, in the case of the main character in Nabokov’s work- and how we interpret the facts before us based on such versions —a twelve-year-old girl, a dreamy Dolly, a prey, a vulnerable girl or a perverse woman—. Each of these versions is constructed and generated from different dialogical processes that take place internally in the individual’s mind. Through these dialogues, we think, reflect, interpret, learn and position ourselves.

Long ago, Mikhail Bakhtin (1979/2003) already stated that, despite the visible external silence around it, dialogical encounters take place in the reader’s mind during the reading process, involving different versions of oneself. But in addition, the voices of those who are in his mind are also represented, that is, voices that the reader invokes and that come from the book’s characters, the narrator, the author, as well as from his previous experiences and knowledge. In this sense, from the point of view of Dialogism, the name given to the theory initiated by Bakhtin, good readers or readers who read and comprehend are capable of dialoguing with these voices and making the relevant decisions to determine what and how to comprehend.

In this same line, Hubert Hermans (2001b), through his Dialogical Self Theory explained that the individual’s mind is a society in which discussions, confrontations and agreements are produced, in a similar way as it is produced in
the external society. In these dialogues, there are voices that remain while others are diluted; there are also own voices, appropriate or even improper voices, but, at the expense of their permanence or value, all of them are there and have an impact on the configuration of the interpretations —versions— created by each individual. Each one of these interpretations is of course generated from a specific position, because dialogue means that precisely: adopting a position in relation to the discourse. Hermans (2001b) called these positions I-positions, and defined them as contextualised versions of identity, of the inner self, in which the individual expresses his conceptions, strategies and feelings through his voice and actions.

Thus, based these theories, in this article we want to show how the application of the vision offered by Bakhtin (1979/2003), combined with the opportunities provided by Hermans’ Dialogical Self Theory (2001b), can help to better understand the comprehension and interpretation processes of literary texts, generating a more comprehensive and grounded vision, and opening a new avenue of research for literary criticism. To this end, we will start from the premises underlying both theories: 1. interpreting means developing internal dialogical processes with which the reader can recognise and identify himself (Bakhtin, 1979/2003); 2. thinking means speaking to oneself by invoking the voices of others and adopting a position with respect to them, so it will be the potentiality and credibility that the reader confers on those voices and, consequently, the dialogues generated in their intrinsic context that will determine the quality of his interpretations (Hermans, 2001b).

Reading: a dialogue between voices

Reading is not a direct act. No one reads a text, a reality, the world immediately. We all approach cultural phenomena and products in a mediated, indirect way. Interpreting and understanding are mediated and subjective acts because they seek to “read” each scene in the most faithful way in which that “reality” takes place. The writer’s reality and the reader’s reality converge in the literary text, so that literature is more than an aesthetic pleasure. According to Solano and Ramírez (2018), knowing how to read literary texts implies being able to go beyond the unilateral or unidirectional relationship, traditionally linked to the reading process, establishing a dialogical relationship between its elements, “a relationship in which he who writes is also written, he who reads is also read, and he who lives is also lived” (p. 64).

In the context of the interpretation process, each glance contributes to the literary text as it generates new meaning. The flow of information means that no one is exempt from the text, in other words, no one can be immune or left out of the discursive force it exerts. It is then understood that literary texts are not neutral and innocent products, but intentional and strategic products; just as reading is not an objective but a subjective act (González, 2011). In the context of his strategic management, the reader makes decisions about which discursive choices he wishes to process to create a meaning, the result of those choices being what constitutes his position in the work. Therefore, each elaborated meaning will be linked to an approach by the reader with respect to those same meanings; but the positions, together with the functions granted to each one of them, will identify and define him in his reading task.

Taking a stand means adopting a space-time dimension from which the individual observes the world and dialogues with it both in the literary sphere and in everyday life. Through your gaze one can realise that what is perceived does not only depend on one’s senses, but is also linked to one’s own experiences, beliefs, impressions, memory, etc. If someone reading this article, for example, were to think at this moment of a city that he knows well, because he visited it recently and on several occasions, he would most likely evoke a city different from the one represented in his first visit in his mind. In
other words, the city will not be the same when it was first visited, without knowing it, compared to when it was visited for the third or fourth time. Likewise, the same city will change if the visitor was alone or accompanied; if he visited it when he was a child or an adult; if he visited the city for tourism- or work-related reasons; if he or had previous information on it, etc. However, has that city actually changed its location on the map, its organisational structure? The city evoked will most probably remain the same in terms of its “physical” layout; however, it will not be the same on the “virtual plane”, that is, in the individual’s mind.

Each representation -version- is influenced by the meaning given by the individual in a concrete cognitive space and time, as well as by the experiences that accompany those coordinates. In other words, our interpretations change in relation to our experiences, although as stated by Bruner (1995), every experience is already an interpretation. The situation just described could of course be applied to the case of the reader and the literary work. When an individual reads a work for the first time, he develops knowledge about it, about its content. This fact puts him in a new position: he who reads is no longer unfamiliar but aware. Re-reading this work in a different time and space allows the reader to reinterpret it from a new position. Therefore, all the reader needs is to acknowledge his previous experience and to have the will to continue expanding it.

The reproduction of the text by an individual (return to the text, repeated reading, new representations, quotes, etc.) is a new and unrepeatable event in the text’s life, it is a new link in the historical chain of discursive communication (Bakhtin, 1979/2003, p. 297).

Bakhtin (1979/2003) referred to these terms and placed knowledge -learned content- and recognition -experience revived- as two magnitudes that coexist in duality -internal/external- so it is the individual’s responsibility to carry out their union. Individuals who try to comprehend are placed in an initial position from which they observe others outside themselves and tend to make abstractions of their own experiences. However, these abstractions can become worthless generalities if they meet other voices that can recognise their discourse and to which the credit enunciator can give credit. According to Bakhtin (1996), what is particular prevails over what is general, just as plurality prevails over individuality.

The ethical question of responsible responsibility (answerability), together with the concern for the particularity of each self, led the author to conduct research on the nature of individuality and its links to the “other”. In his first studies, Bakhtin (2000) proposed that each of the interpretations that an actor makes of a specific reality is constructed from the position he occupies and the resulting vision he has of others from that place (exotopia). From his position, the individual even feels that “I am the only one there: all the others are outside me” (Bakhtin, 2000, p. 33). However, exotopia (what others-are-for-me / I-face-to-all others) is overcome thanks to intersubjectivity, which is developed among the actors who make up the made up dialogical community since “[cognition] constructs a single world of universal validity: absolutely independent of the unique and concrete situation that an individual occupies” (Bakhtin, 2000, p. 34).

In other words, the reader needs to embody the voice of the other, the other-in-me of Hermans (2001b), in order to recognise and confirm their interpretations: “I am not the hero of my own life” (Bakhtin, 1979/2003, p. 102). In this sense, the processes of interaction, combined with the discursive practices in which he participates and the quality of the voices he invokes, will end up shaping the magnitude of the interpretations he makes in the literary text.

The reader’s mental society

Voice has been defined as a construct that refers to the strategic management of the discursive choices that each individual can make inten-
tionally and that allow him to position himself differently in a given text (Wertsch, 1993). In the same vein, Bakhtin (1929/2005) states that no voice appears isolated, but is always in connection with others, so that “everything in us is dialogue” (p. 70). Therefore, in his pursuit not to dissociate ethics from aesthetics, the same author explains that any vision of the world covering the plurality of consciences, systematically reducing them to a monological framework, is both ugly (unsightly) and oppressive (unethical).

In his Dialogical Self Theory, Hermans (2002) also affirms that the individual’s mental society is predisposed in a similar way to the one that structures the external society. Thus, in the internal context of people, discursive exchanges take place with the presence of voices of those who, although not always explicitly identified, influence the configuration of the individual’s versions. These voices fight among themselves to remain and impose themselves, and the version that is built in each context will depend on this dynamics (Monereo & Badia, 2011).

When referring to the specific case of dialogue in the area of language exchanges, Bakhtin (1929/2005) explained that each statement is captured in its tension, that is, in its orientation towards others. Therefore, the author presupposes that the subject of the speech or the speech itself is based on a set of interpretations that can supposedly be shared and that allow for an adjustment or adaptation of the transmitter and receiver identification systems (Canvat, 1999). In this same line, Grijelmo (2000) states that the words that integrate a speech start from an intellect that knows the complete value of the terms that it uses, as well as those it has discarded. Discourse thus is not directed exclusively to the recipient’s rational sphere, but rather to his emotional sphere. Whoever wants to capture the attention of others needs to understand their intentions, plan their strategies, as well as the elements that can influence their mood.

In short, the sender needs to know the position of the other in order for him to understand what the other may feel when he receives his speech.

Of course, it must be accepted that, in any communicative situation, the sender abuse his position, as long as he knows and directs his words. For example, in detective novels the reader has access to different evidence and facts that are unveiled during the plot. The reader is the main character at the same time, since he can investigate through the eyes of the detective, adopt his role and have access to the same information. However, in this genre it is common for the author/narrator to deceive through discourse, offering false evidence in the plot rendering the resolution process more difficult. The author will probably experience great pleasure if he knows that I was able to abduct with his words and make his lie credible. However, the reader could not he have doubted that evidence and still wanted to continue believing that lie? Again, that is his call.

**Who am I and where do I stand?**

Barthes (1970) pointed out that texts can be classified as “readable” or “writable” depending on the type of activity that the text produces, whether literal or imaginative. The former are linked to modern reading contexts and in them the reader reconstructs the author’s intention in his work; however, the latter, more typical of post-modern contexts, involve the reader and direct him or her towards the construction of a meaning, without having to obviate the author’s intention.

Similarly, Bakhtin (1929/2005) observed how the study of literary works is often based on their stylistics, that is, on the formal analysis of the meaning strategies integrated into the literary work. However, he also highlighted the existence and the need to keep developing a second “textualist” line, markedly dialogical, whose
interest is linked to the interpretation processes generated in each particular reading context:

Material aesthetics -what Bakhtin calls the postulates of formalism- posed “the material primacy in artistic creation” and the work was nothing but that organised material. Thus, “the emotional-volitive intensity of the form” remains unexplained and misunderstood; nothing the beyond meaning is not even glimpsed when only the activity, resource or procedure before the material is dealt with. (Medvedev, 1994, p. 31)

However, in order to advance from the static world of possibilities to the dynamic world of realities, the text must be studied as a statement, since this is the unity of discursive communication, “a totality of meaning that has to do with values: beauty, truth, etc., and that demands an understanding as a response that includes an evaluation” (Bakhtin, 1979/2003, p. 318). Therefore, as understanding has a dialogical character (Voloshinov, 1930/1992, p. 142), identifying or decoding interpretation is not enough to understand the text. “Responsive understanding” (answerability) is needed, resulting from the dialectic fusion of a specific understanding of the enunciative (aesthetic) and active understanding in its intention towards the other (ethical).

The real world of the act, in its ethical form, can be described based on the moments of its structuring (semantic content) and concrete disposition (space/time), which are: I-for-me, other-for-me and I-for-other, main architectural points where the values of real life and culture come together (Bakhtin, 1996, 2000; Clark & Holquist, 1984). And it is within the convergence of discursive forces where Hermans (2001a, 2001b, 2004) identifies the possibility of materializing the dialogical and mental society of the individual, placing the architectural points: I, others, I-for-another, emotional and volitional, on a semantic plane of cognitive time-space corresponding to the triple dimension: internal, external or external.

The self is not an entity that can be described in terms of internal positions only, as if they were monological features, but should be described in the context of other positions and groups of positions, suggesting open boundaries not only between the internal and external domains of the self, but also between the self and the external world (Hermans, 2001b, p. 253).

In order to study the content and organisation of the personal position repertoire, Hermans (2001a) developed the Personal Position Repertoire (PPR) method. According to the author, term “repertoire” refers to the overview of internal positions (e.g. I as a mother, I as an ambitious worker) and external positions (e.g. my parents, my children, my husband, my friends, my enemy). The scheme that we have just described will be easier to understand if we apply it to the case of readers of detective novels, to which we have referred in the previous heading.

As we can see, in the mental society of the reader of detective novels (figure 1), there would be at least three levels of voices with which the reader dialogues in his mind:

On the first level - internal - are the conversations of the reader with himself, with the voices that he considers to be his own (I-positions). As a reader, the individual advances in the plot and creates expectations that he develops or dismisses as his knowledge of the story increases. As a performer, he knows the detective genre, so he trusts the structure of the work, but is wary of its plot. As an “investigator”, a confluence of internal/external levels takes place in the individual, since he embodies the function of a detective and has access to the information that the same character obtains within the plot, although in a different space-time.

The second level - external - contains the dialogues generated with the voices that the reader reproduces or interprets, voices that he appropriates (others-in-me), so they are not his
own, but others’ and invoked. The voice of the narrator, of the detective, as well as that of the characters of the story would be included among these external voices. This is also the level of evaluation that may be received for the same work, either in the form of criticism, summary, recommendation, film adaptation, etc. They are also voices that can be evoked by the reader and influence his initial position.

Finally, the third level contains the voices that come from the outside, that is, those that relate to the standards or rules that govern the scenario in which the reader acts. However, they are also voices that have configured their discourse based on the previously recreated image of the reader (I-for-others). In this case, the stage is made up of the literary mechanisms inherent to the detective genre, as well as the characteristics that define the author’s narrative style, the fiction contained in the literature and the work itself.

The dialogues generated between them motivate each of the different positions that the reader assumes at his internal level (I-positions). In our case, the taste for reading, the need to resolve the conflict, the interest in understanding the work, in interpreting the performances of the characters, or even mistrust of the plot of the detective genre, are some of the voices that could determine each of these positions.

However, it should not be forgotten that, in this dialogical convergence, a special force is exerted by those voices that manage to position themselves over others, since the reader’s final interpretation of the work will depend on them. We all try to make our speeches prevail, our vision of the facts, that is why at the moment of presenting a construction of ourselves, version-of-text, we will choose the one that has more possibilities to be heard and to convince.

Figure 1. Example of a repertoire of positions and voices in the case of the detective novel.
Mistrust and empathetic insight

As has been observed, the reader’s mind presents a borderline composition, because its own constitution is composed of otherness:

All of him is always on the borderline, looking at the bottom of himself, where he finds the other’s eyes or sees with the other’s eyes. If one takes into account the diverse nature from which the individual emerges in his dialogical activity. (Bakhtin, 1979/2003, p. 327)

Holquist (1993) pointed out that the most constant question that haunted Bakhtin throughout his life was: “who is talking?” In the author’s opinion, it was necessary to know the identity of the voices in order to give value to the discourse. On the other hand, Hermans (2001a, 2004, 2012) gives greater relevance to the position, since doubt is not only who but from what position is being spoken. Both questions start from the need to document the answer and analyse its influence on the individual/reader, but also from the uncertainty that they pose in themselves, because: if I do not know who is talking to me or from what position, how can I trust? Moreover, how can I interpret and understand?

The reader has been exposed to the uncertainty of whether or not to trust the texts he faces from the beginning. In first place, we have the sacred texts, which required faith as the main category for understanding and interpretation. Then, with the arrival of the profane texts, this situation changed, since it was no longer possible to apply faith to a text that had been considered unworthy of credibility since its arrival. At present, we find that something similar is happening with scientific or critical texts; we need to assess their rigour. What about literary works then?

It could be almost unquestionable that, in order to understand a work, to accompany a character, to experience his concerns, the reader must put himself in the skin of that other, see from his eyes, empathise. Nevertheless, when referring to the scenario we just described, Bakhtin (1979/2003) wanted to highlight that empathic experience must be developed as a perspective and not as a fusion, this is, always from the boundaries, respecting the individual’s essence.

According to the author, applying empathy, in its most extreme degree, can be unethical. This would occur if the reader imposes or subordinates his perspective to that of the character; and it would also be unethical because “if I were really lost in the other, there would be just one participant instead of two: an impoverishment of the being” (Bakhtin, 1996, p. 24). In the author’s opinion, aesthetics is the convergence of two consciences that, in principle, are different from each other. A position of one of the extremes of creative consciousness over the other would lead to an overlap, or in other words, to the overinterpretation of the work. Extreme empathy or endopathy is a phenomenon by which the individual projects his feelings on the other without being able to perceive it clearly and generating a reality closer to the illusion².

Therefore, it is necessary that eventually the reader keeps the mistrust active, the return to its origin and from there observe and value. Strangeness ensures the distance between both perspectives and therefore preserves the existence of the self and the other. The internal displacements that take place in the reader’s mind -his positioning- are the consequence of intersubjective constructions, that is, the result of the dialogue between two consciousnesses. That is why both of them must always coexist (Bakhtin, 1979/2003, p. 393). Empathic perspectivism, understanding the other’s experience from my place, is considered the most ethical (it does not reduce) and aesthetic (it maintains the plurality) strategy.

The above points have recently led to the development of a new field of analysis concerning the relevance and credibility of the voices that are in the mind. According to Hermans (2018), in the intramental universe of each person there are
authorised, central, reliable voices, but there can also be masked voices, that is, voices that disguise their authorship (mask positions). That is why it is necessary that the reader always keeps his voice and his responsibility alive -responsive will-, because only through it he can authorise those dialogues that he considers more relevant in his task for meaning and interpreting the work.

Conclusions

From a constructivist point of view, it could be said that the interpretation of a literary text is a construction of its own and it therefore depends on each individual and his circumstances. That is to say, interpretation would be made from the temporal/spatial plane but also from the emotional plane in which the reader finds himself.

However, dialogical theory shows that within each mind and the circumstances that support it, the subject/reader is not alone, but is always in the company of others. Those others are all those voices that are activated in your mind during the reading process, voices that increase through your biographical and experiential journey. There could thus be as many interpretations as readings of the same work. Veracity, rigour and potentiality of the voices that we invoke, work as categories that help to signify the quality of our interpretations.

On the other hand, as we have stressed, endopathy with these voices must be avoided. Both Bakhtin and Hermans remind us that invoking does not mean abducting, supplanting or masking these voices, but rather temporarily appropriating them in the face of a need for specific understanding. The problem lies precisely in the fact that these categories are not permanent or stable, but are in a continuous flow in which they need to be recognised, that is to say, they need the “other” to dialogue with them.

We understand that the dialogical view we have reviewed in this work, based on the psycho-linguistic approach provided by the complementary ideas of Bakhtin and Hermans, provides a more complete and comprehensive framework for understanding reading comprehension in general and literary interpretation in particular, which is the aim of this study. From now on, it will be essential to contrast and validate the theoretical assumptions contained herein, through the analysis of the reading activity of the same literary work, selected on the basis of its dialogical complexity, by different readers.

We therefore believe that this dialogical approach opens an avenue that can be very fruitful for a better understanding of literary interpretation. In any case, there is much to be said still. As Bakhtin said (1929/1995) “in a free and open world, where everything is about to happen and nothing definite has yet happened, the last word has not yet been spoken” (p. 244).

Notes

1. A similar situation can be found in today’s press, where the phenomenon known as fake news is based on a game of “conscious naivety”, in which those who lie know they can be questioned and those who read know they can accept the lie.

2. An example of endopathy can be found among some of Lolita’s readers, who “were surprised to discover in Nabokov’s wife a woman over fifty years old, tall, thin, with light skin and white hair, cultured and of distinguished appearance: the antithesis of Lolita”, that is, the empathy of the reader with the author made it difficult in some cases to maintain the distance between the author as a person and the author as a creator, and, finally, between the author and the character. A similar case can be seen in the novel by the same author called Pale Fire (1962) where, after reading the introductory poem of 999 verses written by the fictitious John Shade, the reader analyses through the eyes of the protagonist - a source of inspiration for the poet, as he himself admits —, the meaning of that same poem. However, it is only towards the end of the novel that we witness that interpretation is not the result of a faithful analysis of the work, but is the result of the character’s obsessive madness.
References