

**The Linguistic Manifestation of
Literary Communication
in Narrative Fiction**

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Chapter 1

Introduction

”...research is nothing but a series of questions,
and the point is not to ask the wrong questions”
(Genette 1988: 75-6).

1.1 The Challenge of Demarcation

In the last part of the nineteenth century there has been a general movement towards ‘objectivity’ in the field of literature which was followed up by Henry James at the turn of the century and pursued by Percy Lubbock (1921) and Wayne C. Booth (1961) in the twentieth century. Objectivity in literature is the call for showing over telling, which means that the author should provide the reader with vivid descriptions of the action rather than dictating certain values or judgements which, according to the author, need to be made. Showing enables the readers to make judgements on their own based on the author’s descriptions of the events. The literary convention of objectivity created through various linguistic forms and structure has had a great impact on literature from the last part of the nineteenth century and until today.

In the literary discussions there has been a close correlation between objectivity and the role of the narrator. It is a common apprehension among literary critics that the road to objectivity is founded on the reduction of the distinctness of the narrator. The opposition subjectivity-objectivity is thus mainly a question of the implicitness or explicitness of the narrator in the text¹. This has not, however, resulted in a rejection of the first person narrator. In order to meet the demands of objectivity, the authors have either tended to tone down the first person narrator’s own interpretation of the other characters and events in the narrative – a tendency we even find in contemporary literature – or they have marked the first person to such an extent that it possesses all the qualities of a human being and thus evaluates the events without any limitations (see, for example, the first person narrators in Joyce’s *Dubliners* (1914)).

In third person narration the influence of showing over telling is mostly reflected in the rejection of the omnipresent narrator. After the call for objectivity there has been a tendency to

¹ When working on text level the subjectivity-objectivity opposition will be replaced by the terms markedness/unmarkedness and evaluative/non-evaluative, in order to avoid the loaded terms (all sentences are in a sense subjective).

employ an “objective” third person narrator who refrains from evaluating the events. The role of the third person narrator has been reduced to such an extent that the events seem to be left more or less unmediated. This is particularly characteristic of American literary fiction of the 1980s and 90s, often referred to as ‘dirty realism’, ‘minimalism’ or ‘Hick Chic’ (see Rebein 2001). Raymond Carver is probably the most famous author associated with this period. We find a similar movement in contemporary Danish literature, where writers like Helle Helle and Jan Sonnergaard are clearly inspired by this impersonal style of writing.

Not surprisingly, the reduction of the presence of the narrator has given rise to great discussions about the communicative structures of third person narrative fiction. Where the communicative structures were clearly apparent in earlier literature, there is now a certain degree of fuzziness since the presence of the third person narrator has been toned down. The main part of the literary discussion has been, and still is, concerned with the ways in which to handle expressions which do not emerge from a character, but from a narrator who, in a sense, is absent from the story. The question is whether we should talk about the narrator as absent (or unobtrusive) in such situations, or whether we should question the very presence of the narrator. It is this question the present study will set out to answer. It is my conviction that the key to answering this question is found in the distinction between the levels from which we approach the text.

1.2 The Study of Narrative Fiction

In the previous century, the structuralist study of fictional narratives², narratology³, contributed with a great range of theories aiming at characterizing the form and function of communication structures in narrative texts. Narratology attempts at giving an account of narrative features, i.e. the forms of representation of the events and the ways in which the events are chained together in time and space. The study of narratology has traditionally been separated into two levels of analysis: ‘story level’ and ‘the level of narration’.

The story level is the content level of narrative and is mainly concerned with ‘order’, ‘duration’ and ‘frequency’ of the narrative events (Genette 1983 (1972)). On this level it is the ‘what?’ of the narrative that is of interest rather than the ‘who?’.

² Recently there has been a tendency to employ the term ‘narrative’ and ‘narrativity’ in all kinds of fields (for example in the construction of computer games, or in the private sector where companies use the term ‘narrativity’ when constructing the profile of the company). I will use Toolan’s definition of narrative (“a perceived sequence of non-randomly connected events”) (Toolan 2001 (1981): 6) when working on the communicative level. Here the narrative is perceived by the reader. On the linguistic level the “perceivedness” must be omitted from the definition since it is not linguistically retrievable pr. definition.

³ The term was proposed by Tzvetan Todorov, who defined it as “la science du récit” (Todorov 1969: 10).

There has been a long tradition for examining the story level. The early narratologists (for example Roland Barthes (1966) and Tzvetan Todorov (1969)) paid most attention to this level, following the work of the structuralist anthropologist Claude Lévi-Strauss and the Russian formalist Vladimir Propp. In his work Lévi-Strauss illustrates what myths consist of and how they are structured. He claims that a myth is made up of constituent units just like the rest of language. In *Morphology of the Folktale* (1928) Vladimir Propp attempts to map out the basic events of the Russian fairytales and the roles of the characters. By separating a large number of Russian folk tales in smaller narrative units (narratemes), Propp identifies thirty-one different narratemes which constitute the fundamental elements of Russian folk tale. These may not all be present in the single tale, but those employed will always appear in the same order. Propp also claims that the folk tale always contains the function 'lack' or 'villainy', and he identifies seven basic roles assumed by characters each matching a certain function in the tale. Another theorist inspired by Propp is Claude Bremond, who in *The Logic of Narrative Possibilities* (1980) operates with three basic structures identifiable in all narratives: virtuality, actualization/nonactualization and achievement/nonachievement. He also makes a distinction between patients (characters affected by events) and agents (influencing the patients and the overall situation) – a distinction which is closely related to Algirdas Julien Greimas' notion of actants. Greimas (1966) follows Propp's aim at locating a narrative grammar consisting of a finite set of components, and develops the famous actant model which permits a formalization of these functions.

On the level of narration it is the expression of the narrative, i.e. the discourse, which is examined. This level will be the subject area of the present study with privilege towards the narrator rather than the narratee. Here we find that the main questions open with a 'who' rather than a 'what'. On this level, the main task is to map out the internal communicative structures of the narrative. The study of mediation has been discussed widely by literary critics (see for example Stanzel (1984), Hamburger (1993), Genette (1988)). The analysis of narration and point of view can be narrowed down to the two questions posed by Genette 'who sees?' and 'who speaks?' – questions which have triggered a multitude of discussions about the nature and role of the narrator in the text. The questions are founded on the literary convention that all narratives are pieces of communication where a speaker communicates a message to a recipient (see for example Genette 1988: 101). The communication emerges from the narrator, who is immanent to the narrative. This means that all narratives eventually are narrated by a narrator. In this traditional understanding of narrative communication, narrators are highly privileged as they have the power of selecting what

to recount and what to leave out. The narrator is considered the mouthpiece of the author and possesses the ability to share this mouthpiece with one or more characters in the text. The role of the narrator can be compared with the role of a chairman at a political meeting. Here the chairman is also empowered to give the floor to himself or allow for some of the other participants to speak. However, in narrative fiction the voices are not always as easily separated as in everyday speech situations. This has to do with the covertness or overtness⁴ of the narrator. The author can either choose to make the narrator dominant or place it in the background of the text and thereby allow the characters to do the talking⁵.

The author does not only get to choose the speakers in the narrative, he also has to make a choice of focalization, i.e. the point of view from where the perspective emerges. Whether the narrators speak in their own voice but assume the point of view of a character, or whether the narrators present the events according to their own point of view is up to the narrator to decide. All these different combinations and choices open up for different **forms of narration and discourse** causing various effects in the narrative.

The forms constitute a whole range of linguistic and literary effects. Whether the narrator appears as 'heterodiegetic' (i.e. a narrative where the narrator is not part of the events) or 'homodiegetic' (i.e. a narrative where the narrator is part of the events) depends on the linguistic anchoring of the narrator in the text⁶. As a rule, in homodiegetic texts, the narrator is enacted by an 'I', whereas in heterodiegetic narratives the narrator only becomes visible through enunciation or subjectivity markers. It is this latter form which gives rise to most disputes in the discussions due to the implicitness of the narrator.

Are heterodiegetic texts communicative although the speaker is not explicitly present? A great many narratologists have tried to answer this question. They have come up with approaches which seek to disentangle the threads and clear up the different forms and functions of the narrator. The theories are based on textual observations and concern the implicit as well as explicit presence of the narrator in the text, what Prince (1982: 9) has referred to as 'signs of the 'I''. These signposts can be more or less explicit in the text. In some texts the subjectivity of the narrator can be so dim, that some theorists reject the convention that all narrative fictions are pieces of communication.

⁴ These terms are employed in Chatman (1978). A covert narrator is a non-intrusive and undramatized narrator, whereas an overt narrator is intrusive and dramatized.

⁵ It should be mentioned that in the analyses on a technical level the term 'level of narration' will refer to the discourse of the narrator, whereas the 'story level' refers to the discourse between the characters.

⁶ The distinction between heterodiegetic and homodiegetic narrators was introduced by Genette (1983: 245). These terms will be applied in the present study.

Consequently, they question the presence of the narrator and talk about ‘narratives without narrators’. This scepticism of the narrator as an immanent participant of the narrative has not only given rise to a reconsideration of the nature of narrative fiction, but it has also carried along a fruitful consideration of the different narrative components and their functions since literary critics have been forced to consider both linguistic and literary elements. However, despite the great focus on the communicative structures of narrative fiction, there has been a tendency for critics to split into two separate camps which, until now, have seemed incompatible; one camp where the narrator is *obligatory*, and one where the narrator is *optional*. I will refer to the first approach as the ‘communicative approach’ (here we find narratologists such as Genette (1972, 1983), Prince (1982), Stanzel (1979), Bal (1985)), whereas the latter will be referred to as the ‘non-communicative approach’ to narrative fiction (the most noticed narratologists in this approach are Hamburger (1973) and Banfield (1982)). The reason for using these terms is simply because the main distinction between the two approaches lies in their different outsets in the communication model.

The distinction between the two literary understandings may not at first seem to play a decisive role in textual analysis. A text like the following short story “RIF” (1987) written by Barthelme remains, in a sense, the same whether we conclude that the narrator is absent or present:

- You taught me that, Rhoda. You, my mentor in all things.
- You were apt Hettie very apt.
- I was apt.
- The most apt.
- Cold here in the garden.
- You were complaining about the sun
- But when it goes behind a cloud-
- Well, you can’t have everything (Barthelme 1987: 50)

What does it matter whether we assume a communicative situation in the narrative or not? In the text we can either conclude that the narrator is covert in this section or completely absent from the text. This does not change the fact that what we have is a dialogue between the two characters Rhoda and Hettie. However, in order to provide a scientific account of the way in which meaning is established in literature, we soon realize that it does make a difference whether we consider narrative fiction as a piece of communication or not. The literary conviction, whereupon the analysis has its point of departure, is deeply reflected, not only in the lexicon of the technical terms,

but also in the ways in which the text is approached and in the perception of the participants. The communicative approach provides a set of terms enabling an examination of the ways in which the reader conceives the narrative. When the narrator is not textually retrievable, i.e. when the narrator is covert, it is up to the reader to insert a narrator in order to complete the narrative communication. It is on this level that the two participants, the 'heterodiegetic narrator' and the 'homodiegetic narrator', are situated. The reader's construction of the heterodiegetic narrator is based on lexical expressions and grammatical forms employed in the narrative.

The non-communicative approach, on the other hand, has its point of departure in the structure of the text. Here the examination distinguishes between elements which are textually retrievable and those which are not. This means that the components are either explicit or absent. There are no 'implicit' components to be located at this level. Either there is a narrator or there is not. This is reflected in the technical terms; narratologists founding their theories on this non-communicative approach often replace the term 'narrator' with an alternative term such as a 'SELF' (Banfield (1982)), a function (Hamburger (1973)) or what we will refer to as the 'enunciation subject'. The enunciation subject may either be present (as is the case in homodiegetic narration) or absent (as in heterodiegetic narration). This means that when the third person narrative expresses a certain ideology which cannot be traced to a character, the evaluations are ascribed the 'subjective worldview of the text' rather than a third person narrator⁷. The subjective worldview of the text refers to the ideology or values enforced on the level of narration, communicated to the reader. As will be shown, some texts are more coloured by values than others and thus more in control of the reading of the text.

When considering the text from a linguistic level, the perception of the narrator also changes. Rather than considering the narrator as the organizer of the textual universe, as is the case in the communicative approach, the narrator, or rather the enunciation subject, is seen as a literary construction on the same level as other constructions.

So far I have distinguished between two different approaches in narrative theory, a communicative and a non-communicative approach. It is my claim that the two approaches perform their analyses on two different levels in the text, i.e. a 'communicative' and a 'linguistic level' respectively. These approaches can be grouped in the following model:

⁷ This term is adopted from Nünning's concept of the 'narrator's subjective worldview' (2001: 211). The replacement of the narrator by 'text' is necessary in order to avoid anthropomorphic fallacies.

	Level	Subject	
Communicative Approach	<i>Communicative level</i>	Homodiegetic narrator	Heterodiegetic narrator
Non-Communicative Approach	<i>Linguistic level</i>	Enunciation subject	Zero enunciation subject

As illustrated in the model, the main deviation between the two approaches is to be found in the last column: on the communicative level we find the heterodiegetic narrator, whereas the enunciation subject has been deleted on the linguistic level. This is a very important observation to the present study, where the overall aim is to approach the heterodiegetic narrator from the linguistic level.

When examining how the two levels of analysis deviate, we find that the communicative approach is based on what we may refer to as ‘literary analysis’ (e.g. for narration we ask ‘who speaks?’ and for point of view ‘who sees?’). This is not to say that the communicative narratologists fail to make examinations on the linguistic level. It rather illustrates that the communicative structures are primary and the linguistic observations secondary to this level. There will always be communication whether the communicative partners are manifested explicitly on the linguistic level or not. In the non-communicative approach the ‘linguistic observations’ (e.g. deixis (including tense), lexical evaluation and syntactic markedness) are primary. It is therefore not surprising that the non-communicative approach rejects the presence of a heterodiegetic narrator, since this component is not textually retrievable, but rather a reader construction; it is the reader who inserts the heterodiegetic narrator on the communicative level in order to complete the communication structure. The communicative approach focuses on the insistence of the communication structures to such a degree that the linguistic elements are secondary.

1.3 The Purpose of the Present Study

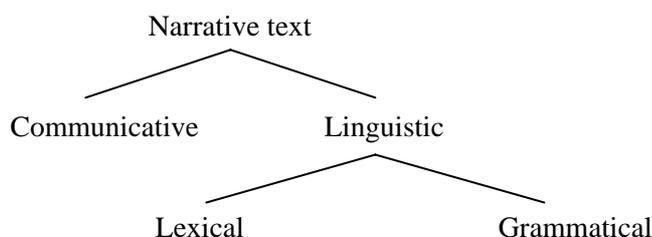
In this study it is not my intention to reject one approach and accept the other. It is my belief that both approaches are essential to the study of narrative fiction. However, it is important to be aware of the level from which one approaches the text. Is the intention with the analysis to illustrate how the reader constructs the communicative patterns in the text, or is it rather the intention to examine how the text constitutes meaning by the use of linguistic devices? As Chapter 3 will reveal, traditional narratologists have mainly been concerned with the former. I will therefore put focus on the linguistic structures; how is meaning constructed in the heterodiegetic text? This will also improve our understanding of the different devices on which the communicative level is based.

The fact that the two approaches distinguished above are founded on two different analytic levels (literary and linguistic devices) is of great importance to the present study, since my overall aim is to cooperate the linguistic and literary approaches. This is not new in itself. As the presentation of the non-communicative approach in Chapter 3 will reveal, a number of attempts have already been made to cooperate the two directions. However, as I already have touched upon, there has been a tendency to approve of one approach while strongly refusing the other. What distinguishes this study from other studies is the attempt to cooperate the communicative and non-communicative approaches. My proposal is founded on the conviction that the two approaches are concerned with two different levels of one and the same analysis, and therefore enter into a reciprocal relation: the communicative structures are realized in the linguistic structures and the linguistic structures trigger communication, implicitly or explicitly. Whether a text involves a communication situation between a narrator and a narratee or not depends on the level from which the text is approached. Although some work has been done on both levels, the linguistic level remains the most neglected. My intention will therefore be to strengthen the linguistic approach to narrative fiction. This intention will necessitate a reconsideration of the traditional terms used today, since they either emerge from one or the other approach. By developing a new set of categories where the two levels are united, a bridge between literary and linguistic studies will be established. The main questions we need to ask are therefore the following: ‘how is narration established through linguistic structures and vice versa, how do linguistic structures establish narration?’. These questions will be answered by identifying ‘forms of narration and discourse’ rather than subjects. This approach is in continuation of Hamburger’s understanding of narrative fiction as a function rather than a subject-object relation (1993 (1973): 138-139). By ‘forms of narration and discourse’ I mean enunciation forms considered in relation to linguistic and lexical markers and narration (1st, 2nd or 3rd person). The forms of narration and discourse are the foundation of point of view and narration. Every narrative consists of different forms of narration serving various functions. Some text parts establish the setting of the story whereas others consist of pure dialogue or give access to the feelings of one or more characters. By talking about forms of narration and discourse rather than narrators, we avoid the assumption that all narratives are narrated by a narrator, and keep the focus on the way in which the narrative is constructed rather than ‘who’ is doing ‘what’. The study will thus contribute to the understanding of narrative fiction as a function rather than a subject-object relation when approached on the linguistic level. The

identification of different forms of narration and discourse will enable a better understanding of the way in which meaning is communicated to the reader in narrative fiction.

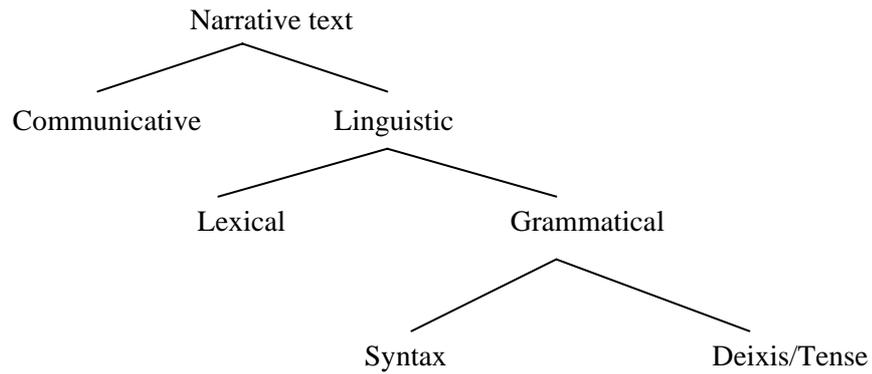
Thus, despite the great amount of ink the discussion of communicative structures has caused to flow already, there is still a lot of work to be done. In order to make the two approaches meet, it is necessary to specify exactly *where the two approaches merge* and *where they deviate* in the narration. My main focus will be heterodiegetic narration. In Chapter 8 and 9 I will, however, briefly test the applicability of forms of narration in homodiegetic and second person narrative texts.

The linguistic analyses have often appeared as random observations. In order to fill in this gap, I will reduce the linguistic components to two main levels of analysis: a ‘grammatical’ and a ‘lexical level’:



When examining these two levels, we are interested in the subject, or ‘deictic centre’, from which the markedness emerges. This deictic centre may be a character in the text, an enunciation subject or the text itself creating the subjective worldview of the text. However, in narrative fiction the focus sometimes alternates between different focuses in the middle of the sentence without warning. These changes of perspective are brought about by markedness in the linguistic structures.

The lexical and grammatical levels can be marked in several ways. Markedness on the grammatical level is realized in the structure of the sentence creating ‘marked forms’ through syntax, tense or deixis:



The grammatical system enables an exposure of the ways in which meaning is established on the lowest levels of language. The syntactic markedness will on the communicative level be considered as signs of the narrator. On the linguistic level it will rather be seen as a technical way of changing the form of narration, or as a way of drawing extra attention to a certain paragraph. Syntactic markedness can either be grammatical or ungrammatical. Grammatical markedness arises when a sentence construction deviates from the norm, i.e. the rules of English grammar. This is for example seen in sentences with subject-predicator inversion ('At the table stood a brand new tape recorder') or by the use of fronting ('That, I will come back to'). Such marked sentence structures often serve to highlight certain passages. In ungrammatical sentences the structure does not follow the grammatical rules of a given language, which we see an example of in the following sentences: "There is my father's bed. In it, my father" (Barthelme 1981 (1970): 123). Although the last sentence is ungrammatical it is not considered a mistake but a markedness of the sentence.

The role of syntactic markedness in literary texts has often been neglected. I will therefore provide a thorough account of the ways in which syntactic markedness is established in narrative fiction and the effect it has on the text. This will include a consideration of deictic markers and their special function in literature. Tense will only be included when relevant.

Sentences can also be semantically ungrammatical, as in the famous Chomsky example 'Colorless green ideas sleep furiously'. Here the syntax is perfectly right, but the semantic contents of the words do not make sense. The sentence is thus marked on a lexical level. When examining the lexical level, we examine the semantic meaning of the individual words. An examination of lexis reveals how a certain ideology, irony or sympathy structures are established in the text. Some lexis may serve an evaluative function in the text and thus reflect the subjectivity of the enunciation subject, whereas others emerge from a character in the text or the text itself. Evaluative lexis is

mainly expressed through modality (should, could, might), familiarizing articles ('the', 'those'), adjectives ('nice', 'sweet', 'stupid' etc.), or through epistemic (modality which concerns probability) or deontic expressions (modality which concerns desirability) (Bache & Davidsen-Nielsen 1997: 316). Although lexical evaluation has been given more attention than grammatical markedness, it is still necessary to include the use of lexical markers in the present study in order to understand how the forms of narration and discourse are constructed.

The distinction between the lexical and the grammatical level is a simple but important step to obtain a comprehensive view of the many components which contribute to the establishment of narration. The systematization will enable a better understanding of the ways in which linguistic structures influence the forms of narration and discourse in narrative fiction and vice versa. The different forms of narration and discourse will consequently be founded on lexical and grammatical devices and thereby establish a connection between linguistic and literary approaches.

The dissertation will open with a discussion of the distinction between fictional and non-fictional language. This will bring to light the dynamics and flexibility of language use in narrative fiction. The discussion will be followed by a presentation of structuralist linguistics and their focus on language structure. This focus has turned the study of language into a science and provided a useful basic knowledge about the ways in which language is structured. As we will see, the foregrounding of *langue* (i.e. the socially shared language system) has been at the expense of *parole* (i.e. language in use). Consequently, the social aspects of language and the meaning of context have been neglected. However, in the last part of the twentieth century there has been a rise in interdisciplinarity between the two aspects as some linguists have turned their focus on *parole*, and some literary critics have incorporated the system of *langue* in their analytical approaches.

In Chapter 3, I will examine the structures of narrative fiction, according to the two directions, the communicative and the non-communicative approaches. My aim will be to clarify how the two approaches comprehend narrative fiction, and to present their arguments for the communication structures or the lack of it respectively.

In Chapter 4, 5 and 6 the linguistic tools – the lexical and grammatical systems – will be introduced and examined. The two systems will be approached through different theories and methods. In the study of lexical structures, I will use an approach developed within Systemic Function Linguistics, what has been referred to as 'appraisal'⁸. It should be mentioned that it is not my primary intention to illustrate whether a certain approach is applicable in relation to literary

⁸ Appraisal theory has been introduced in Martin (2000), Martin and Rose (2003) and White (<http://www.grammatics.com/appraisal/>)

analysis or not, but rather how the different devices effect the forms of narration and discourse. There has been few attempts at applying Systemic Functional Linguistics to literary texts (see for example Nørgaard 2003). My intention is rather to examine how language functions in narrative fiction and how it creates different forms of narration and discourse. This aim will be achieved by an examination of the ways in which meaning is manifested in the linguistic structures of the text. In Systemic Functional Linguistics one of the drawbacks is the great complexity and delicacy of the systems which demand great insights but in some cases only give relatively little profit. I will therefore only apply theories of Systemic Functional Linguistics when I find that they can contribute to the analysis. Of all Systemic Functional Linguistic systems, I have chosen to apply appraisal theory and the system of transitivity since these two systems will first of all enable a good insight into the lexicality of the words. This is useful when examining how sympathy structures are established in the text. Secondly, they will be of use when examining where the evaluation markers emerge from. The transitivity system provides a set of terms which reveal the function of the verbs in the sentences.

The systems will be applied Hans Christian Andersen's two fairytales "Little Tiny" (1835) and "The Gardener and the Noble Family" (1872). Both fairytales are written in the third person, but deviate when it comes to evaluation on the level of narration. In "Little Tiny" the level of narration is strongly coloured, whereas the evaluation or judgement is left to the reader in "The Gardener and the Noble Family"⁹.

The linguistic tools introduced will be incorporated in the examination of narration in Chapter 6 and 7. The purpose of these chapters will be to develop a new approach to the study of narration founded on linguistic observations. This will provide a set of tools which will enable a more thorough textual analysis. However, it should be mentioned that textual analysis cannot be founded on linguistic observations alone. Often linguistic devices function like a marker highlighting a certain paragraph, telling the reader to pay extra attention. It is often left to the reader to examine why this special passage is important to pay attention to. The reader must therefore consider the linguistic devices in relation to the action of the story.

The applicability of the forms of narration will be tested on homodiegetic and second person narratives in Chapter 8 and 9. The intention is not to provide a complete examination where all the

⁹ The quotations from Andersen's fairytales will be quoted from the English edition of *The Complete Hans Christian Andersen Fairy Tales* (1984) edited by Lily Owens. All quotations will be provided in Danish in the footnotes. Here I use the edition *H. C. Andersens eventyr* (1964) where the fairytales have been published after the original by Erik Dal. I will only focus on the English translation, despite the fact that the English translation often deviates from the Danish edition to a great extent.

different technical aspects of these two narrative modes are included, but rather to see whether the two modes are built up around the same forms of narration and discourse as those identified in homodiegetic texts.

In the final chapter I will draw conclusions and reconsider narrative fiction as an act of communication.

In the analyses, I have chosen to examine stories written by the American writer Donald Barthelme (1931-89). His work is of particular interest to the study of narration due to the experimental aspects in his style, composition, narrative voice and construction of the story and its characters. Barthelme employs a variety of different genres (e.g. journalistic writings, everyday dialogue and political rhetoric) and breaks with the conventional demand of a beginning, middle and ending. As the analyses will show, these experimental aspects are manifested in the lexical and linguistic systems.

Apart from Barthelme, I will use texts (mainly short stories) written by other writers such as Steven Crane, Ambrose Bierce and Sarah Orne Jewett. The texts will function as illustrations of how the different forms of narration and discourse may be employed.

Chapter 2

Linguistic and Literary Studies

2.1 Markedness in Fiction and Non-fiction

When working with language we are concerned with the meaning making devices employed, and the ways in which the text is communicated to the receiver. In order to convey the intended communicative goal, the speaker can make use of certain linguistic and literary devices. These devices vary in use and serve different communicative functions. The speaker chooses between these devices – consciously as well as unconsciously – depending on the purpose of the communication.

Communication can be divided into two main modes of representation, namely ‘fiction’ and ‘non-fiction’. The language of non-fiction has been referred to as ‘ordinary language’ or ‘standard language’ (see for example Leech 1969), whereas the language of fiction is termed ‘poetic language’ (Leech 1969) following Aristotle. The two modes deviate in many different respects.

Fiction and non-fiction serve diverse purposes and employ different devices (i.e. syntactic forms, tenses, psychonarration (i.e. expressions of feelings) and deictic markers) accordingly. The main purpose of non-fiction is for the speaker to convey information to a recipient. In everyday conversation we use language to inform or get informed about certain issues, or to establish social relations. Fictional and non-fictional language should thus not be considered as two distinct languages, but rather as two different ways of using the same language system. Some constructions are most typical of non-fiction, whereas others mainly appear in fiction.

One important difference between the two modes is the access to other people’s minds. In non-fiction the speaker only has direct access to his or her own feelings and thoughts. In order to verbalize other people’s feelings, the speaker has to ask the individual persons about their feelings or interpret their actions as expressions of their feelings. This puts some natural limits to the forms of discourse employed in non-fiction. In fiction we can have unlimited access to the feelings of the characters. This allows for forms of discourse, like free indirect discourse and indirect thought presentation, which are characteristic of fictional language. However, these forms of discourse are also seen in non-fictional language. When talking to children, adults often tend to use the vocabulary of the child and the language becomes a mixture of voices which, according to traditional narratologists, is the characteristics of free indirect speech. Another situation in everyday language where this mixing of voices occurs is when a salesman tries to sell certain products. In

order to decrease the distance between himself and the costumer he tends to ‘speak the costumer’s language’.

What these observations seem to point at is, that the distinction between fictional and non-fictional language is not a clear-cut distinction, but rather a continuum between the two poles:



In some commercials, advertisements or speeches, the speaker may choose to employ what we traditionally conceive of as ‘fictional features’, i.e. forms and styles mostly used in fiction. This can, for example, be seen at weddings where speeches may be formed as fairytales with a traditional fairytale beginning (‘once upon a time’) and ending (‘the prince married his princess and may they live happily ever after’). Other examples are newspaper articles which often tend to open like a novel or a short story in order to make the information more interesting and thereby catch the reader’s attention. In some of Donald Barthelme’s texts we find the opposite example where factual language is used in fiction:

- What did you do today?
- Went to the grocery store and Xeroxed a box of English muffins, two pounds of ground veal and an apple. In flagrant violation of the Copyright Act.
- You had your nap, I remember that –
- I had my nap (The opening of “The New Music” 1983 (1979))

The dialogue, which assembles real life conversations¹⁰, continues till the end. In experimental fiction like that of Barthelme we often find such features from everyday communication (other features could be the use of dialect, slang, hesitations or contractions).

In *The Logic of Literature* (1973) Käte Hamburger identifies some vital linguistic distinctions between the two modes of communication. One of the main features distinguishing the two genres is tense. According to Hamburger, the past tense has a function of presentness in fiction: “*The change in meaning, however, consists in that the preterite loses its grammatical function of*

¹⁰ The resemblance between fictional dialogue and real life dialogue in fiction has also been pointed out by Bache (1986) in his article on *Tense and Aspect in Fiction* (p.83).

designating what is past” (66 – original emphasis). This is also clear when we consider the use of deixis in fiction. Here it makes perfect sense to combine past tense and what has been referred to as proximal deixis, pointing at time and place (i.e. here/now):

The old cow was not inclined to wander farther, she even turned in the right direction for once as they left the pasture, and stepped along the road at a good pace. She was quite ready to be milked now, and seldom stopped to browse (Jewett 1994 (1886): 669 – my emphasis)

Today, the different function of pastness in literature has been commonly accepted (see for example Bache (1986)). Rather than being a choice of tense, the different forms are regarded as a choice between literary effects, where the present tense is considered a device creating a sense of immediateness. Bache makes an important observation when he points out that there is a difference of markedness in fiction and non-fiction:

In the normal, referring mode, the present tense seems to be semantically the more extensive form and thus the unmarked member in a past/non-past tense opposition. However, in the fictional mode, the past tense seems to be the more neutral form (stylistically) and thus the unmarked member in a present/non-present tense opposition (Bache 1986: 89)

Thus in non-fiction the tense forms correspond with the actual events: when relating about something in the past, we use the past tense, and when talking about the present situation we use present tense. This is not always the situation in fiction. Here the past tense loses its “pastness”.

Bache also points out the different functions of aspect, i.e. the perfective (‘She was driving’) and the imperfective (‘She drove the car’). By choosing between these two forms the speaker can decide whether to provide the addressee with an internal focus by using the perfective form or an external focus by using the imperfective form.

As pointed out in the Introduction, another important grammatical distinction between the fictional and non-fictional modes is the use of syntactic constructions. This is a very important observation which has hardly received any attention. In fiction we often find structures which are incorrect according to the rules of grammar, but still function as meaning making devices. Such syntactic markings will be considered a mistake in non-fiction but a stylistic twist in fiction. Consider the following text:

There is my father's bed. In it, my father. Attitude of dejection. Graceful as a mule deer once, the same large ears. For a nanosecond, there is a nanosmile. Is he having me on? I remember once we went out on the ups and downs of the West (out past Vulture's Roost) to shoot. First we shot up some mesquite bushes and some parts of a Ford pickup somebody'd left lying around. But no animals came to our party (it was noisy, I admit it). A long list of animals failed to arrive, no deer, quail, rabbit, seals, sea lions, condylarths. It was pretty boring shooting up mesquite bushes, so we he hunkered down behind some rocks, Father and I, he hunkered down behind his rocks and I hunkered down behind my rocks, and we commenced to shooting at each other. That was interesting (Barthelme "Views of my Father Weeping" 1981 (1970): 123)

In this excerpt there are a number of incomplete sentences according to the standard English grammar. Some words are downright incorrect ('condylarths'). Other sentences are missing parts of the nexus (e.g. 'In it, my father'), and in the last paragraph 'father' is written with a capital 'F'. In non-fiction such incorrect or inconsistent forms would most likely have been considered mistakes. In fiction, however, the language is allowed a certain flexibility and the grammatical rules do not apply in the same way as in non-fiction. This opens up for a more varied use of language in fiction: the ungrammatical sentences become literary 'twists' carrying a certain effect or function in the text. The literary effect of the constructions is thus the main focus of the examinations rather than the acceptable and unacceptable sentence structures. The grammatical constructions may for example influence the explicitness of the mediation: a marked sentence construction may evoke a sense of a 'presence' of a mediator in the text, whereas standard sentences often seem to evoke a sense of distance between story and narration. In fiction this 'presence' is traditionally considered as indicators for the communication of a narrator. This communication model is more manifest in non-fiction. As a rule, in non-fiction there is always a speaker who communicates a message to an addressee. In fiction the narrator fills out a very different function, since his or her main function is to mediate or act in the textual world.

In the depiction of the distinctions between fictional and non-fictional language above, I have anticipated a great part of the points which will be essential to the present study, namely how meaning is constructed in fiction through language structures. Despite the close relationship between the different modes and the choices of linguistic constructions, it is only recently (i.e. in the last part of the twentieth century) that literary critics have been concerned with the interdisciplinarity between the fields of linguistics and literary analysis – what Roger D. Sell has referred to as the 'lang-lit.' approaches (2000: 45). However, it has taken much work to get to the point where we are today. The structural linguists have done a lot of basic work which enables us to start at a very high level, when it comes to linguistic analysis.

2.2 Formal Linguistics and Functionalism

In the first part of the twentieth century structuralist linguistics emerged and turned the study of language into a 'science', with its primary focus on the formal relations between signs. Ferdinand de Saussure (1857-1913) has been regarded as the father of modern structural linguistics (*The Encyclopedia of Language and Linguistics* vol.7: 3662). Saussure introduced new aspects into the study of language as he drew attention to the synchronic study of language rather than only focusing on diachronic studies. He also pointed out the syntagmatic aspect of language. After his death in 1913, some of his students collected his lectures and published his *Cours de Linguistique Générale* in 1916. Saussure made some important observations in his career, on which many theories and schools (such as Geneva, Prague, Copenhagen and Paris) were founded.

In the last part of the twentieth century, there were two general directions in the study of language: a 'formal' and a 'functional' direction. The key person in formal linguistics was Noam Chomsky. His main area of interest was the syntactic level of language. Chomsky operated with the distinction between 'competence' and 'performance' (1965) – a distinction which parallels Saussure's distinction between 'langue' and 'parole'. Performance refers to the specific utterance whereas competence has to do with the speaker's knowledge of the language which enables the speaker to decode and construct sentences. Chomsky was preoccupied with the formal structures of language. He made a clear emphasis on competence rather than performance in his study of linguistics as his goal was to differentiate grammatical from ungrammatical sentences. These investigations were consequently based on ideal language rather than the actual performance of language. This meant that language variation involving dialect, age, and interpersonal relations between the speakers was ignored since most illustrative examples were constructed rather than taken from real conversations or other "genuine" texts¹¹. The language users and the context in which language was used was therefore not taken into consideration. In addition to the preference for competence, the object also caused a limitation of the studies to the sentence boundary; where functionalism and the study of performance is concerned with extra-linguistic factors such as context and formal linguistics, the study of competence is only centred around the single sentence and thus limited to the sentence boundary. This limitation was taken up by some of Chomsky's followers. In 1962 J. L. Austin draws attention to performance rather than competence in his book *How to do things with Words*. He claimed that when using language the speaker performs an act

¹¹ Chomsky's work is also commented on by Roger Sell in *Literature as Communication* (2000: 40-3)

which has a certain effect on the addressee. Austin's work was soon followed by other speech-act theoreticians such as Searle (1969), Grice (1967) and Ohmann (1971). The focus on the relation between language and its users was the beginning of the study of pragmatics which developed in the late 1970s. Pragmatics offered a new perspective of language and examined how language resources are being used by speakers to make meaning (Verschueren 1999: 2). Thus rather than examining ideal language and being concerned with grammatical and ungrammatical uses of language, linguists focused on language in use. This has also meant a shift of interest from syntactic structures to semantics. Pragmatics is thus mainly concerned with the function of language.

The notion of 'function' refers to a movement away from formal linguistics towards what has often been referred to as 'functionalism'. From the mid 1950'ies to the mid 1970'ies formal linguistics and functionalism existed side by side. Functionalism refers to the investigation of language and its function in social interactions. This second direction has necessitated a consideration of the context in which language is used, i.e. the way in which context influences the use of language in real life conversations, and the way in which language reflects the context in which it has been produced. The theory that language is in context, and context is in language can be traced back to the British linguist J. R. Firth, who also drew attention to the fact that all language use is influenced by the ideology of the language users. It was one of his students, M. A. K. Halliday (1961), who developed the theory of what we today know as 'Systemic Functional Linguistics' (SFL). In SFL the focus is on the text as a whole rather than limiting the observations to the sentence boundaries. Language is considered purposeful behaviour, where the purpose is to make meaning and create or sustain social relations. Language is thus regarded as "an instrument of social interaction by means of which human beings can communicate with each other and thus influence each other's mental and practical activities" (Dik 1980: 1). In SFL language is viewed as 'functional' in the sense that it functions as an instrument in social interaction. The term 'systemic' reflects the view of language as a system of choices. In order to create meaning, the speaker has to choose from a system of potential choices. The choices must be made on several levels. The choice of one sound over another, as in 'sad' vs. 'mad' is enacted on the phonological level, whereas the choice of lexis as in 'brat' vs. 'child' or the choice of word order ('The man is nice' vs. 'Is the man nice?') is made on higher levels. The choices made will always have an impact on the meaning of the utterance.

The focus on context has also given rise to the study of deixis. Deixis stresses the pragmatic aspect of language since it is concerned with the centre of the communication situation

(the 'zero point' or 'Origo') and its relation in time and place. The deictic markers are thus relative to the extralinguistic context of the utterance which means that the interpretation of the markers depend on the knowledge of the context in which the communication occurs, such as information about who is speaking 'when' and 'where'.

2.3. Literary Analysis and Functionalism

From the section above we can state that the functional approach to language is based on the following principles:

- language is functional
- an examination of language should go beyond the boundary of the sentence
- language performance is more important than language competence

This functional approach is the foundation of textual analysis. In textual analysis we assume that language has a function in the text. The choices made by the author have an effect on the way readers perceive the fictional universe, whether it is the choice of first, second or third person narrator, tense forms, deixis forms (proximal vs. distal), discourse (direct, indirect, free indirect discourse), or more local choices such as the use of sound figures, metaphors or syntactic constructions. The actual choices are thus considered in relation to the potential choices. An examination of these choices will help us understand the ways in which meaning is established in the text as a whole; why do we as readers experience certain emotions or gain sympathy for certain events or characters?

Textual analysis is thus based on the understanding of language as a functional entity. This is not to say that Chomsky's work is of no importance to textual analysis. His thorough examinations of sentence structure has provided us with a better understanding of the linguistic systems. It is rather his lack of attention towards language use and performance which is problematic, seen from a literary perspective. Since stylistic effect in literature often is achieved by means of transgressing norms and standards, Chomsky's understanding of language is not directly applicable to the study of literature: he would fail to see the stylistic effect and simply reject sentences which deviate from the norm.

Although linguistic approaches to literature are gaining more and more footing each day, it is important to be aware of the fact that literature consists of more than linguistic markers. As Fludernik remarks, a linguistic analysis enables a description of the effects but neglects the

subsumption of poetic language i.e. the pragmatics of the text (Fludernik 1993: 339). It is therefore important to look beyond the linguistic system, langue, and include parole in the analysis¹². This integration is necessary because, as already mentioned in the introduction, the functions of the linguistic devices are ambiguous. There is no one-to-one relation between a certain form and its meaning in literature. It is therefore necessary to consider the language in relation to the context, i.e. in relation to story level (content). Or put differently, the ‘how’ cannot be fully understood without a consideration of the ‘what’. If we neglect to consider the text as a whole, and thus exclude the story level, the chances are that we end up mis- or over-interpreting the linguistic constructions. In *The Fictions of Language and the Languages of Fiction* (1993) Fludernik points at a very important point:

A given linguistic characteristic, in so far as it departs from a specific norm, can be employed for a variety of presumed purpose, as well as for none at all. Thus, subject-verb inversion in English – which accompanies several root transformations as well as constituting one in its own right – can be used in order to signal subjective point of view or narrator’s emphasis; it can be used for the purpose of rhythmic euphony, and also for no observable purpose at all. An example of such pure ‘stylistic’ variety is the occurrence of inversion in inquit-tags, where it has become a common, conventionalized textual feature of obscure (if any) stylistic effect (Fludernik 1993: 349)

What is worth noticing is the observation that linguistic deviations can be employed for no purpose at all. It is, however, my claim that all choices are purposeful in the sense that they should always be considered in relation to potential choices. Although the purpose may only be one of language variation, it still has an effect on the reader’s perception of the story, since the intention is not to make the text sound monotonous. Consider the following opening of Barthelme’s short story “Report” (1968):

Our group is against the war. But the war goes on. I was sent to Cleveland to talk to engineers. The engineers were meeting in Cleveland. I was supposed to persuade them not to do what they are going to do. I took United’s 4: 45 from LaGuardia arriving in Cleveland at 6: 13. Cleveland is dark blue at that hour. I went directly to the motel, where the engineers were meeting. Hundreds of engineers attended the Cleveland meeting. I noticed many fractures among the engineers, bandages, traction. I noticed what appeared to be fracture of the carpal scaphoid in six examples. I noticed numerous fractures of the humeral shaft, of the os calcis, of the pelvic girdle. I noticed a

¹² The lack of an integration of langue and parole would lead to what Roland Posner (1982: 126) has termed ‘the linguistic fallacy’. This term refers to the erroneous conviction that narrative prose can be completely comprehended by purely linguistic rules (ibid.; quoted in Fludernik 1993: 339). However, most linguists are well aware of this fallacy and it does not seem to be a widespread conviction among the theorists.

high incidence of clay-shoveler's fracture. I could not account for these fractures. The engineers were making calculations, taking measurements, buttonholing employers, hurling glasses into the fireplace. They were friendly (Barthelme 1982 (1968): 86)

In this text, the sentence structure is monotonous till the very end of the story. This has an effect on the way in which the reader perceives the narrator and the story. If we continue the reading we find the following paragraph:

I spoke to him then about the war. I said the same things people always say when they speak against the war. I said that the war was wrong. I said that large countries should not burn down small countries. I said that the government had made a series of errors. I said that these errors once small and forgivable were now immense and unforgivable. I said that the government was attempting to conceal its original errors under layers of new errors. I said that the government was sick with error, giddy with it. I said that ten thousand of our soldiers had already been killed in pursuit of the government's errors. I said that tens of thousands of the enemy's soldiers and civilians had been killed because of various errors, ours and theirs. I said that we are responsible for errors made in our name. I said that the government should not be allowed to make additional errors (Ibid. 87)

What the monotonous tone seems to point at, is what Trachtenberg has identified in another short story from the same collection of stories, namely that all wars are the same, and so are the arguments for and against war (Trachtenberg 1990: 58).

The effect of marked linguistic structure is not always as obvious as in the example quoted above. However, it is still my assumption that marked linguistic structures always have an effect on the story and therefore should be considered as an important component in the textual analysis.

In some texts marked sentence structures are more dominant than unmarked structures. As we will see, this is the case in Barthelme's novel "Bishop" (1981). Here the markedness arises when the language follows the norm. Thus unmarked sentences can in some texts draw more attention to themselves than marked sentences.

To sum up, when considering the theoretical directions in the twentieth century it is not so odd that we find been a rise in interdisciplinary approaches between literary and linguistic studies in the second half of the 20th century. An earlier attempt to cooperate the two disciplines would have been unthinkable as most attempts are based on the research of structuralist linguistics and literary formalism – a line of research which improved our understanding of language and which literary critics were able to use in their examinations of literary texts (Sell 2000: 5).

The classical narratology is closely related with structuralism. Based on Saussurean theories, narratologists examine narrative structure searching for the basic, universal structure, which, when closely examined, provide an insight into the different components of the narrative and their function (see the Introduction). The shortcoming of classical narratology is the failure to include pragmatics, discourse analysis, sociolinguistics and to explain the role of the reader. Today this general call for interdisciplinary studies has turned linguistics into one of many fields which are included in the study of literature. We can mention the study of culture as another discipline which has gained increasing attention over the last few years. Also philosophical theories ('possible worlds theory') and gender related approaches such as feminist, queer and lesbian approaches have received widespread attention.

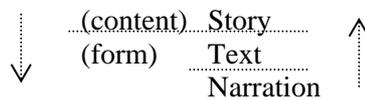
The rise of new approaches in narrative theory has let a number of theorists (David Herman, Ansgar Nünning and Monika Fludernik) to pluralize the term 'narratology' and talk about 'narratologies'. This is based on a distinction between, what Nünning has referred to as 'structuralist classical narratology' and 'new postclassical narratologies', where the latter is interdisciplinary. It is in the latter era that the more recent linguistic approaches to narratology must be placed. In what follows I will speak of 'narratology' as a term covering both classical and postclassical studies.

Chapter 3

Narration and Narrative Structure

3.1 Preliminaries

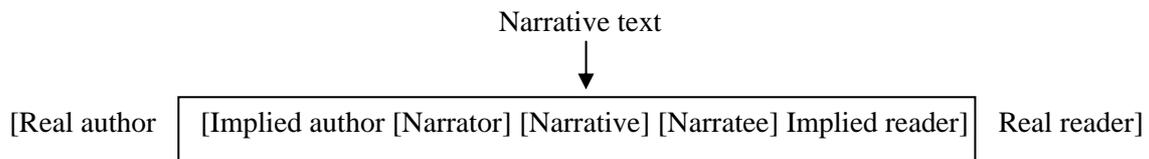
The main focus of more recent theories of narratology, what has been referred to as post-classical narratology, has been the level of *sjuzhet*. There has recently been a tendency to divide this level in two. Genette (1983, 1988) makes a distinction between ‘*histoire*’ (story) which refers to the content, and ‘*récit*’ (narrative) which concerns the form and ‘*narration*’ (narrating) which has to do with the producing narrative. Toolan (2001), following Rimmon-Kenan (1983), has employed the terms ‘story’, ‘text’ and ‘narration’. The story level corresponds to *fabula* whereas text and narration are a ramification of the level of *sjuzhet*. This subdivision of the form of narration provides a differentiation between the enunciation of the text (the level of narration) and the remaining organizational tools such as the establishment of time, space, rhythm, pace, viewpoint, order of events etc. (the level of text). Bal (1985) translates these terms into the three constructions ‘*fabula*’, ‘story’ and ‘text’ each containing its own subject: actor, focalizer and narrator. In this dissertation I will apply the terms proposed by Rimmon-Kenan:



The segregation of the three levels is only theoretical since they engage in a mutual relation and thus determine one another. The tripartition enables a focus on the way in which the text is related, i.e. the narration of the text.

3.2 Narration in Narrative Fiction

The communicative theory is based on the assumption that communication involves an ‘I’ who speaks to a ‘you’. The question ‘who narrates the novel?’ has sounded for many years (see Kayser 1958 pp. 82-101; Stanzel 1984 pp. 13-21) and often collides with the question ‘who sees?’. Many narratologists have founded their theories on the following communication model:



The communication model above is divided into two levels. Outside the narrative text we find the empirical author and the empirical reader. This level will be referred to as the ‘extratextual level’. Inside the narrative text, what we will refer to as the ‘intratextual level’, we find the communication between the implied author/implied reader and the narrator/narratee. The narrator can either be part of the story level or be positioned outside the story on the level of narration – a distinction made by most narratologists today (see for example Genette (1983), Stanzel (1984), Bal (1985)).

The agreement quickly ends, however, when it comes to determining whether the communication roles on the intratextual level are optional or obligatory. There are especially two communication participants which have given rise to great dispute among narratologists, and that is the implied author and the narrator. These will be examined in separate sections in what follows. The examination of the narrator will be separated according to the two approaches (i.e. the communicative and the non-communicative approach).

3.3 Between Author and Narrator

...a narrative of fiction is produced fictively by its narrator and actually by its (real) author. No one is toiling away between them, and every type of textual performance can be attributed only to one or the other, depending on the level chosen (Genette 1988: 139-140)

This statement is a reaction against a third participant who has been inserted between the extratextual and intratextual levels, namely the ‘implied author’. Whether this participant is superfluous or not has given rise to great discussions. Before making a stand and before examining its relevance in relation to textual analysis, I will take a closer look at its original function.

The implied author was introduced by Wayne C. Booth in *The Rhetoric of Fiction* (1961). According to Booth, the implied author equals the author’s ‘second self’, who is projected into the

text verifying its intention. It also satisfies “the reader’s need to know where, in the world of values, he stands – that is, to know where the author *wants* him to stand” (Booth (1961) 1983: 73). Apart from clearing out the ideology of the text the implied author separates the relation between author and narrator: “It is only by distinguishing between the author and his implied image that we can avoid pointless and unverifiable talk about such qualities as “sincerity” or “seriousness” in the author” (Ibid. 75). By evading the biographical fallacy concerning the author the implied author enables the reader to perform an analysis solely based on the text itself.

Another argument for working with the implied author is the riddle of the unreliable narrator. According to Booth, unreliability arises whenever there is a distance “between the fallible or unreliable narrator and the implied author who carries the reader with him in judging the narrator[...]. If he is discovered to be untrustworthy, then the total effect of the work he relays to us is transformed” (Ibid. 158). If we for example take a look at the short story “Tardy Awakening” (“Sildig Opvaagnen” (1828)) by St. St. Blicher we find a conspicuous example of unreliability; the reality put forward by the reverend clashes with the reality facing the reader. Consequently the reader gets suspicious about the sincerity of the narrator and is forced to create his or her own interpretation of Elise’s love letters and the doings of the characters and the narrator independent of the narrative interpretation; the reverend is condemning Elise calling her a ‘skøge’ (‘a whore’) but is at the same time fascinated by her. This fascination, however, does not belong to the reverend’s idealized view of the world. He therefore forces himself to repress his feelings which are obvious to the reader.

Other examples of unreliable narrators are Humbert Humbert in Nabokov’s *Lolita* (1955) who interprets Lolita’s doings for his own advantage, or the butler in *The Remains of the Days* (Ishiguro (1989)) who constructs his own truth (see Kathleen Wall (1994) for further discussion).

The central question when working with unreliability is the way in which the suspicion arises in the reader. If the narrator is unaware of what is going on around him, how does the reader know? The answer must be found in the text. According to Booth the answer is very straightforward; it must be the work of the implied author. Booth claims that this device will always be present in the scenic or panoramic presentation, either through the unreliability in the narration or as an underlying ideology.

Booth’s aims in *The Rhetoric of Fiction* (1961) can be separated into four parts: 1) to exclude the author from the intratextual universe 2) to replace the author with the narrator 3) to expound the ideology of the text and thereby 4) explain unreliable narration. The distinction

between these four dimensions is solely theoretic since they in practice constitute a whole. It is, however, important to keep in mind that Booth's immediate aim was to eliminate the empiric author's role in the text and place the focus on the text itself rather than on extra-textual relations.

The Rhetoric of Fiction (1961) has been very influential in literary theory in the last part of the twentieth century and until today. The implied author is an important participant in communicative literary approach where it is considered a significant participant in the literary text. In *Critical Practice* Catherine Belsey states that the implied author is "an extremely useful instrument in the formal analysis of narrative texts" (1980: 30), and William Nelles, thirteen years later, points out that the implied author and implied reader "each has its distinctive function: ...the implied author means, the implied reader interprets" (1993: 22-46).

In Denmark the term has been translated into 'implied narrator' by Søren Schou (1967). The translation of 'author' into 'narrator' reflects two different motives; where the overall goal in Booth's aim is to free literary theory from the intentional fallacy, Schou uses the term to designate a narrator who forms the text as communication. This narrator is more similar to Booth's undramatized narrator¹³ than the implied author.

Schou's definition of the 'implied narrator' can be identified in the work of one of the most prominent Danish scholars working in this field, namely Keld Gall Jørgensen (2002 (1994)). Jørgensen considers the implied narrator, or what we refer to as the 'heterodiegetic narrator', as an "extra person" the author tries to keep at a distance but who always seems to insist on getting attention. He also states that the implied narrator "is never quite identical with the author and never quite identical with any of the characters, although he may partially merge with all of them" (2002: 17 - my translation). The implied narrator/heterodiegetic narrator stands in opposition to the explicit narrator (or 'homodiegetic narrator' according to Genette's term) and may, according to Jørgensen, either be 'omniscient', 'epic' or 'behaviouristic'. Thus Booth's original intention with the term, namely to free the author from the text, is no longer primary. In Jørgensen (2002) the term has been employed in order to explain the different functions of the narrator. This was not, however, what Booth set out to do. Toolan explains: "When Wayne Booth introduced the term 'implied author' (Booth, 1961: 70ff.) he probably had little intention of this being taken up and posited as a distinct and separate role in narration" (1988: 77). The term has thus been employed to fulfil two different functions: for Booth the primary intention was to keep the analysis on an intratextual level, whereas the classic narratologists used the term as a separate participant in the narrative text.

¹³ The opposition between dramatized and undramatized narrators can be paralleled with Genette's distinction between homodiegetic and heterodiegetic narrators (see Booth 1991: 51-2).

Svend Erik Larsen, another prominent Danish scholar, chooses a different approach as he forms a narrative theory freed of the covert narrator and the implied author. In his article "Om Synsvinkel, fortæller og udsigelse"¹⁴ (1999) he shortly presents Booth's term 'implied author' as something of the past: "I de tilfælde hvor dette grundlag [tekstens værdigrundlag] ligger hinsides synsvinklerne eller tekstens udsigelsesniveauer har man talt om en *implicit forfatter*"¹⁵. What Larsen seems to communicate is that the term (the implied author) has fulfilled its function. The text has been freed from extra-textual relations and can be considered a piece of communication independent of outer relations.

There has been a large degree of scepticism among the critics concerning the applicability of the term. The question concerning the nature of the implied author has in some theoretic circles given rise to a reconsideration of its use and is considered a *passpartout* – i.e. a redundant participant (cf. Bal 1981: 208f; Chambers 1984: 44f.; Nünning 1997; Toolan 1988: 64f; Svend Erik Larsen 1999: 146). Mieke Bal claims that the implied author "promised something which, in my view, it has not been able to deliver: it promised to account for the ideology of the texts. This would have made it possible to condemn a text without condemning its author and vice versa" (1981: 42) In *The Narrative Act* (1981) Susan Lanser, observes that the term "not only adds another narrating subject to the heap but it fails to resolve what it set out to bridge: the author-narrator relationship" (Lanser 1981: 49f.). A similar redundancy of the term can be recognized in Genette's *Narrative Discourse Revisited* (1983) where he makes the following statement: "in my opinion, narratology has no need to go beyond the narrative situation, and the two agents "implied author" and "implied reader" are clearly situated in that "beyond" (1988 (1983): 137). Genette reacts against the tendency to turn the implied author into a "narrative agent" – a reaction which in my view seems very legitimate:

...if one wants to establish this idea of the author as a "narrative agent," I don't go along, maintaining always that agents should not be multiplied unnecessarily – and this one, as such, seems to me unnecessary. In narrative, or rather behind or before it, there is someone who tells, and who is the narrator. On the narrator's far side there is someone who writes, who is responsible for everything on the near side. That someone – big news – is the author (and no one else), and it seems to me, as Plato said some time ago, that that is enough (Ibid.: 148)

¹⁴ "About point of view, narrator and enunciation"

¹⁵ "In those cases where this foundation [the values of the text] is placed beyond point of view or beyond the enunciation level of the text, the term *implied author* has been employed" (my own translation).

Some narratologists have adopted the term according to their own needs. One example is found in *When Voices Clash* (2000) where Jacob L. Mey uses the term to express “the links that tie authors and readers to their respective extra-literary contexts, to the societies in which their literary activities are made possible” (244). This is not, however, a very fruitful approach since Mey ends up reinserting the external factors which were originally rejected by the very same term.

Another adoption of the term is found in *Story and Discourse* (1978) and later in *Coming to Terms* (1990) where Seymour Chatman transforms Booth’s theory concerning the implied author to a more textual perspective and considers the narrative instance as “essential to narratology and to the text theory in general” (Chatman 1990: 83). Chatman defines the implied author from a formal perspective rather than an ideological perspective and points out that “He is not the narrator, but rather the principle that invented the narrator, along with everything else in the narrative...” (1980 (1978): 148). This understanding is based on a hierarchization of the textual subjects where the implied author is superior to the narrator and held responsible for the establishment of the textual universe. A text will therefore, according to Chatman, always involve an implied author (and an implied reader): “The narrator alone tells or shows the text, and if we cannot accept his account, we must infer that it belongs to someone (or something) else” (1990: 90). This “someone” is the implied author who is “the sources of the “true” stories” (1990: 90). Chatman adds that “Unlike the narrator, the implied author can *tell* us nothing. He, or better, *it* has no voice, no direct means of communicating” (1980 (1978): 148).

What we are dealing with is thus an abstract participant who is silent but still able to construe the textual universe. It is this constant shift between an anthropomorphication and abstraction of the term which has given rise to much confusion: “On the one hand, it is emphasized that the implied author is an abstract construct, but, on the other hand, he is taken to be personalizable inventor of the narrator (“the man who invented the narrator”)” (Nünning 1997: 99). The term in itself (‘narrator’) gives the illusion that the concept refers to a person which makes it difficult even for a follower like Chatman not to use personal pronouns to refer to this device. If the implied author is “no person, no substance, no object” but rather “the patterns in the text which the reader negotiates” (Chatman 1990: 87) the term needs to be redefined.

The de-personification of the implied author has been widely accepted and is today a necessary condition for the applicability of the term. In *Narrative Fiction* (1983), for example, Rimmon-Kennan confines the term and returns to a Booth-oriented definition: “the implied author must be de-personified, and is best considered as a set of implicit norms rather than as a speaker or

a voice (i.e. a subject)” (88). She hereby seeks to disentangle the confusion occasioned by the term – a disentanglement appreciated by Diengott: ”...not only is any confusion clarified but the term is applicable within the interpretive activity and is extremely useful in discussing literary works. The problem is then shifted from *what* is an implied author to *how* it is reconstructed” (Diengott 1993: 73).

Fludernik makes an excellent observation as she makes the following conclusion:

Linguistically speaking, neither communication, telling, utterance nor any other speech act can be posited for the implied author level. Although defined in various ways, the implied author does not *say* or *speak* but is generally agreed to be a construct of the text’s ‘meaning’ or of the ‘intentions’ of the (real) author[...]. The implied author ‘communicates’ only in so far as the actual reader *when reading* (i.e. as Nünning’s ‘empirical reader’) constructs the meaning and values of the textual whole from all textual levels of utterance and story content (1993: 446)

What Fludernik rightly points at is that on the linguistic level the implied author is not a communication partner but rather a construct based on textual elements. The implied author only becomes a communication partner on the communicative level when the reader constructs a subject who communicates a certain ‘meaning’ or ‘intention’. This ‘meaning’ can be identified on the linguistic level. But rather than talking about a subject (i.e. the implied author) I will include this ‘meaning’ in my classification of forms of narration (see Chapter 6).

3.4 The Communicative Literary Approach

The communicative literary approach is based on the assumption that literature is communication and always involves a narrator. Each sentence in narrative fiction is thus an enunciation of a narrator. If the presence of this narrator is only present implicitly it is left to the reader to (re)establish the communicative device by inserting a ‘third person narrator’. This third person narrator is not textually retrievable, like the first person narrator who is manifested as an ‘I’. It is rather a construction in the mind of the reader. According to this communicative approach elements such as inquit (‘he said’), the organization of the text and descriptions are all ascribed the narrator. Consider the following statement:

Inescapably, a narrative text implies through its wording a narrating voice, the tone of an implicit speaker taking a line on his subject and adopting a stance towards his readers. This is to say [...] that from within every tale there speaks a detectable ‘teller’: no novel is neutral, objective (Genette 1983 (1972): 75)

The excerpt above is quoted from Gerard Genette's *Narrative Discourse* (1983 (1972)). It is important to note that Genette bases his argument on the fact that all novels are subjective. This implies that subjectivity always will be connected to a person. The insistence on the presence of a speaker is even more distinct in *Narrative Discourse Revisited* (1988 (1983)):

...there is an enunciating instance – the narrating – with its narrator and its narratee, fictive or not, represented or not, silent or chatty, but always present in what is indeed for me, I fear, an act of communication. For me, therefore, the widespread affirmations (new avatar of the old “showing” and therefore of the very old *mimesis*) according to which no one in the narrative is speaking arise not only from the force of convention but also from an astonishing deafness to texts (1988: 101)

The tone of this quotation reveals a strong defence of the communicative approach to language, challenged by the non-communicative approach which I will return to in the next section (jf.#). Genette rejects the absence of a speaker in narrative fiction and claims that “mimesis in words can only be mimesis of words. Other than that, all we have and can have is degrees of diegesis” (1980: 164). This understanding is also reflected in Genette's system of terms; his three terms ‘homodiegetic’, ‘heterodiegetic’ and ‘autodiegetic’ are all derived from the Aristotelian term ‘diegesis’. The question of voice is thus not concerned with the presence or absence of a speaker, but rather how and where the presence of the speaker becomes visible in the text. Hence the conception of the narrative text as an act of communication on the intratextual level is crucial in Genette's theoretical foundation as “‘Showing’ can only be *a way of telling*” (1980: 166).

The definition of narrative fiction as an act of communication on the intratextual level is a generally accepted approach in classic works on narratology. In *Narratology: The Form and Functioning of Narrative* (1982) Gerald Prince shares Genette's conception of narrative fiction as communication:

There is at least one narrator in any narrative and this narrator may or may not be explicitly designated by an ‘I’. In many narratives where he is not, the ‘I’ may have been deleted without leaving any traces but the narrative itself (1982: 8)

It is very important to note that Prince considers narratives with no explicit designations of an 'I' as having been subjected to a 'deletion'. It is the definition of narrative as communication which eventually leads to this conception of narrative as involving a narrator. To claim that the narration has been deleted is, roughly speaking, the same as postulating that the author has rewritten the narrative transforming it from a first person narrative into a third person narrative. We find the same postulation in his discussion of the narratee:

If there is at least one narrator in any narrative, there also is at least one narratee and this narratee may or may not be explicitly designated by a 'you'. In many narratives where he is not, the 'you' may have been deleted without leaving any traces but the narrative itself (1982: 16)

Prince bases his theories on the assumption that a narrative is communication *pr. definition*, despite the fact that we in some texts only get access to the enunciation. The narrator and narratee are mandatory in any narrative. Subsequently, the 'I' designates a narrator and 'you' designates a narratee (1982: 17).

Prince and Genette are far from the only narratologists believing every narrating to be presented in the first person by definition (Genette 1983: 244). We find a similar statement in Mieke Bal's *Narratology* (1985), where Bal claims that 'I' and 'He' are both 'I', meaning that a third person narration always involves an 'I' uttering something about a third person:

In principle, it does not make a difference *to the status of the narration* whether a narrator refers to itself or not. As soon as there is language, there is a speaker who utters it; as soon as those linguistic utterances constitute a narrative text, there is a narrator, a narrating subject. From a grammatical point of view, this is *always* a 'first person' (Bal 1985: 122-3)

This communicative approach is also reflected in her definition of the narrative text: "A *narrative text* is a text in which an agent relates a narrative" (5)¹⁶.

¹⁶ A similar definition is found in *The Nature of Narrative* (1966) where Kellogg and Scholes define the narrative by "the presence of a story and a storyteller" (1966: 240). Roland Barthes also clarifies his position: "there can be no narrative without a narrator and a addressee (or reader)" (1977:109). In *A Glance Beyond Doubt* (1996) Rimmon-Kenan defines narration as follows: "By *narration*, I mean the act or process of telling – whether by an external narrating voice, by an internal character-narrator, or by a character within the narrative who tells a story within the overall story. Behind all these is the author's act of narration, which [...] calls for a reexploration in a separate study" (Rimmon-Kenan 1996:19). According to Rimmon-Kenan narration presupposes the narrator (Ibid.: 22) a conception also shared by Herrnstein-Smith: "we might conceive of narrative discourse most minimally and most generally as verbal acts consisting of *someone telling someone else that something happened*" (1980: 231).

We also find the communicative approach in the German tradition. In the opening of *A Theory of Narrative* (1984) Stanzel states:

“Whenever a piece of news is conveyed, whenever something is reported, there is a mediator – the voice of a narrator is audible. I term this phenomenon ‘mediacy’ (*Mittelbarkeit*)” (1984: 4 (1979)).

Thus a text is always mediated according to Stanzel. Again, it is only a question of the degree to which the mediation appears. Stanzel considers mediacy as “the generic characteristic that distinguishes narrative from drama, poetry and, as a rule, also from film” (1981: 5). This understanding of mediation as genre specific forces him to consider pure dialogue as generic disruptions:

Mimesis, in the strict sense of direct or dramalike presentation, is possible in the novel actually only by means of dialogue. Strictly speaking, the dialogue scene is, therefore, a foreign body in the narrative genre, because in the novel a long quotation in direct speech must be regarded as an avoidance of mediacy, i.e., the mode of transmission by a narrator (1984:65).

It is worth noticing that Stanzel juxtaposes ‘avoidance of mediacy’ with ‘the mode of transmission by a narrator’. Again mediation and the narrator go hand in hand – an understanding which almost seems to be an ingrained literary convention in traditional narratology. We find a similar approach in present day German theory: “A narrative has a story based on an action caused and experienced by characters, and a narrator who tells it” (Jahn 2003: 2).

In the communicational approach, there also is a general tendency to consider the narrator as an active person who constructs the textual universe and its devices (i.e. characters, setting and him

In Denmark we also find a tradition for approaching narrative fiction as narrator communication. In one of the most sold literary lexica in Denmark (Gads litteraturlleksikon (1999)) we find the following definition of the narrator: ...en analyse af et litterært værk må nødvendigvis forholde sig til, hvem der fortæller historien, og hvorfra historien fortælles. Især i den episke litteratur er fortælleren vigtig for forståelsen af værket. Det er selvfølgelig altid en forfatter, der har organiseret fortællingen, men læseren møder en *fortællestemme*, der ikke kan regnes for forfatterens egen, og denne fortællestemme er defineret tidsligt og rumligt, dvs. i forhold til personerne i fortællingen. Enhver fortælling har en *fortæller* (Gads litteraturlleksikon 1999:115) (...an analysis of a literary work must make a statement as to by whom the narrative is told and from where the narrative is told. In epic literature the narrator is of much importance with regard to the understanding of the work. It is, of course, always a narrator who has organized the story, but the reader meets a narrative voice who cannot be juxtaposed with the author’s voice, and this narrative voice is defined according to time and space, i.e. in relation to the characters in the story. Any narrative has a *narrator*).

or herself as a narrator) according to his or her own set of values. The narrator thus chooses what to show the readers. In 1910 the German theorist Käthe Friedemann describes the narrator in *Die Rolle des Erzählers in der Epik* as "the one who evaluates, who is sensitively aware, who observes" (quoted in Stanzel 1984: 4 and Hamburger 1993: 140). More than half a century later we find the following description of the narrator in *Narrative Discourse*: "source, guarantor, and organizer of the narrative, as analyst and commentator, as stylist...and particularly - as we well know - as producer of "metaphors." (Genette 1983: 167)¹⁷. In 1982 Prince writes the following:

In any narrative, the narrator adopts a certain attitude towards the events he is recounting, the characters he is describing, the emotions and thoughts he is presenting. He may, for example, emphasize the importance of certain incidents and not others; he may judge certain characters outright or in a roundabout way; he may state what he thinks explicitly or without seeming to; he may take a personal responsibility for arriving at certain conclusions or deny any such responsibility (44)

To consider the narrator as an active participant in the construction of the story seems to be an international literary convention.

3.5 The Non-communicative Literary Approach

When considering the text from a linguistic level we soon realize that the underlying structure where a narrator communicates a message to an addressee, is an untenable position. According to the non-communicative literary approach fictional narrators only come into being when being textually retrievable. This means that the first and third person narrators are two very different devices in narrative fiction. The first person narrator is textually manifested in the form of a specific character in the narrative referring to itself as 'I'. The third person, on the other hand, is only present through enunciations. There is no explicit subject to which we can ascribe these enunciations. It is observations like these which have made theorists like Hamburger talk about 'narratives without narrators' and refer to the omniscient narrator as 'a metaphorical pseudo-definition' (Hamburger (1993 (1957): 140-1). Hamburger describes the problem as follows:

¹⁷ We can also identify this anthropomorphication in the Danish tradition where Keld Gall Jørgensen describes the narrator as "controlling and selective, i.e. as the one who decides what the characters are allowed to say and do, when". This paragraph is translated from Jørgensens definition of the narrator as "styrende og udvælgende, dvs. som den der bestemmer, hvad personerne får lov til at sige og gøre, og hvornår" (2002: 18)

The problem of the narrator, or let us say less pretentiously, the term “narrator”, must be briefly commented on here. It is a term which doubtless has created some confusion because the structural difference between statement as a subject-object relation and fictional narration as a function has hitherto been disregarded. Certainly, in describing a piece of narrative literature it is terminologically convenient to avail oneself of this personifying expression. For of all art media narration evokes, or can most frequently evoke the impression of a “person” who posits himself in a relationship not only to the figures he creates, but to the reader as well. In positing a “fictive narrator” to circumvent a biographical identification with the author one merely appears to void the personification of the “narrator”. There is no such thing as a fictive narrator which, as is obviously presumed, would be conceived of as a projection of the author, or indeed as a “figure created by the author” (Stanzel). There is also no such fictive narrator in cases where this impression might be awakened by interspersed first-person flourishes such as “I,” “we,” “our hero,” and the like[...]*There is only the narrating poet and his narrative acts.* And only in cases where the narrative poet actually does “create” a narrator, namely the first-person narrator of the first-person narrative, can one speak of the latter as a (fictive) narrator (139-140)

Here Hamburger abandons the term and reserves it for the use of first person narration. The poet can choose to create a narrator or he/she can choose not to. When choosing to avoid the narrator, Hamburger speaks of a ‘narrative function’:

One may also say that the act of narration is a function, through which the narrated persons, things, events, etc. are created: the *narrative function*, which the narrative poet manipulates as, for example, the painter wields his colors and brushes. That is, the narrative poet is not a statement-subject. He does not narrate about persons and things, but rather he narrates these persons and things...*Between the narrating and the narrated there exists not a subject-object relation, i.e., a statement structure, but rather a functional correspondence* (Hamburger 1973: 136)

The ‘narrative function’ is thus independent of an intratextual mediator which means that there exists no communication between a narrator and an addressee in the text. It is this fictional structure which enables the narrative to stage and present itself without the presence of a narrator. Narrative fiction is thus, according to Hamburger, only communication on the intratextual level when the author chooses to employ a first person narrator. When the first person narrator is excluded, the author only produces a narrative, not a narrator. It would be wrong to conclude that the narrator has disappeared since it never existed in the first place¹⁸.

Hamburger’s theory has also received a great amount of criticism. One of her own students, Dorrit Cohn, comes with the following statement:

¹⁸ In Denmark Rolf Reitan is one of the few critics who follows Hamburger’s approach to literature (*Balzacs fælde* (1998) and *Kun et snit* (1999)). His approach has given rise to strong reactions (see Bundgård (2000) and Jørgensen (2000)).

In these texts [i.e. texts with narrator comments], even as the narrator draws the reader's attention away from the individual fictional character, he fixes it on his own articulate self: a discursive intelligence who communicates with the reader about his character - behind his character's back (1978: 25)

There has also been theorists following the same path as Hamburger did. In 1982 Ann Banfield's *Unspeakable Sentences* was published, based on the work of Kuroda's (1976) and Benveniste (1954). The contents of the book was also highly debated. All critics at the time, whether linguists or narratologists, seemed to have an opinion about her theories. Most opinions, however, were negative. A year after the publication, Brian McHale wrote a review where he stated that "the book is too important to pass up. And I say this even though Banfield is, I believe, finally *wrong* – wrong not in this or that detail of her treatment of narrative sentences, but wrong in principle, wrong in her orientation. In short, *Unspeakable Sentences* is wrong but far from valueless, although its value is largely negative" (1987: 17). It is not surprising that Banfield's publication gives rise to extreme reactions, considering the fact that she questions the very foundation on which narratology is based.

Banfield challenges the communicative literary approach with her distinction between communicative and non-communicative sentences and thereby rejects the definition of the narrative text as an act of communication. According to Banfield sentences in narrative fiction mainly consist of non-communicative sentences. These non-communicative sentences are located in the narration of the text – in opposition to the discourse – where facts and events are narrated. It is what Banfield refers to as 'pure narration' (i.e. sentences outside discourse) and 'represented speech and thought' (i.e. free indirect discourse, psycho-narration and narrated perception (see Fludernik 1993: 304-9))¹⁹ It is these sentences which are referred to as 'unspeakable' or 'narrator-less'. Banfield defines a narrator as the 'I' who appears outside sentences of direct speech. This definition excludes the presence of a narrator in third person texts – a definition shared by Hamburger. Banfield finds no reasons for positioning a narrator in third person narratives and claims that the text "must be held together by some other hypothesis than that of the narrator's voice" (1982: 222). There is thus no need for a narrator in third person texts to unify the meaning of the text – which applies to first person narratives (1982: 184). In third person narratives the unity must be found in the text itself:

¹⁹ For a more thorough presentation of Banfield's theory see Fludernik 1993 pp.361-397.

The need to refer to a narrator where no first person appears arises from the lack of any framework in which to conceptualize the text as either a unified whole or an intentional object [...] For if it can be shown that authorial intention, now converted into an invisible narrator's point of view, is nowhere embodied in any sentence but only a way of reading the whole, then it cannot be equated with the speaker's point of view, which can be defined linguistically in a straightforward manner, and no statement utilizing the term *narrator* is falsifiable. This version of the author's disappearance from the text is thus 'revisionist,' depriving this radical thesis of its force, and is a disguised return to a communication model. There are hence two competing theories about the nature of the text's unity, one which assigns all the sentences of the text to a single narrating choice and another which sees author and narrator as distinct constructs of literary theory, restricting the latter to 'cases where the narrating poet actually does "create" a narrator, namely the first-person narrator of the first-person narrative' ((Banfield 1982: 184-5) - with quotes from Hamburger 1973: 140)

Here Banfield puts forward the two directions I have referred to as the communicative and the non-communicative approaches and places herself in the latter approach:

It should be clear by now that the system developed in the first four chapters presents an explicit formulation of the latter theory; it sees narrative fiction as linguistically constituted by two mutually exclusive kinds of sentences, optionally narratorless sentences of pure narration and sentences of represented speech and thought. Both these sentences are unspeakable (Ibid.: 185)

This belief in narrator-less texts leads to an alternative understanding of free indirect discourse. The principle '1 Expression/1 Self' does not allow for a narrator to intrude into a sentence of represented speech and thought²⁰.

Language is ascribed an 'expressive function' which can be situated in showing as well as telling. The expressive function is realized through the French aorist (the *passé simple*) and free indirect speech – or 'represented speech and thought' as Banfield terms it – which enables the text to express a message without necessarily entering into a communication situation. Represented speech and thought is characteristic by the fact that the action of the story is presented through a consciousness (1982: 158). Banfield does not ascribe this consciousness to the narrator but what she refers to as the SELF which is a 'conscious' subject. The narrator is thus only present when narrative fiction is mediated by a first person narrator. "Then during the meal Mr. Arnoldsen gave a toast" (quoted in Banfield 1982: 316 n.1). Banfield refers to this form of narration as 'pure narration' (p.185).

²⁰ Banfield's definition of 'represented speech of thought' is not similar to free indirect discourse, since it includes sentences with parenthetical phrases as in 'She would not go, thought the girl'. Such sentences are not 'free' according to critics employing the term 'free indirect discourse'.

Apart from the narrator-less sentences, Banfield has been criticized for her limitation of the Chomskyan framework (see Fludernik (1993: 364); Violi (1986)). By focusing on the single sentences rather than the text as a whole Banfield ignores the importance of the textual framework. She also prefers to talk about competence at the expense of performance. This also leads Banfield to work with constructed sentences and split sentences into grammatical and ungrammatical (i.e. unacceptable) sentences. This is an unimportant observation since language in literary fiction is more creative and thereby more flexible than non-fictional language, as has already been pointed out. This has also been pointed out by McHale who shows that what Banfield categorizes as unacceptable sentences are widely used by Don Passos (McHale 1983: 31). These counterexamples reveal a great weakness in Banfield's theory as she constructs a whole list of expressive elements which are excluded from indirect speech. The list contains, among others, exclamations, exclamatory sentences, repetitions, hesitations, incomplete sentences. In his article 'Free Indirect Discourse: A Survey of Recent Accounts' (1978) McHale finds examples which violate Banfield's rules; he finds examples where the constructions listed above are perfectly valid in indirect speech (see pp. 254-5). What Banfield seems to neglect is the creativity of fictional language. Despite the many limitations of her theory, I still find that Banfield contributes with a very useful integration of literary and linguistic studies.

In more recent work, Monika Fludernik (1993) has taken up the discussion of narratives without narrators:

In reflector mode narration there is no 'communication' between a narrator and a narratee; indeed such an address to a narratee would immediately suspend the reflector mode. It is here that Ann Banfield's 'unspeakable sentences' have their locus. What this implies is that there *can be* narration without a narrator. That is to say, in *pure* reflector mode narrative there cannot be any indication of a narrative voice. However, purity is an idealized concept, and *actual* narratives of the reflector mode frequently contain digressions into (usually) disguised evaluation and other 'subjective' stances of the narrative that must then be aligned with a 'covert' narrative voice. I reserve the term *narrator* for those instances of subjective language that imply a *speaking* subject: the personal pronoun *I*, addresses to the narratee, meta-narrative commentary (frequently in conjunction with *I*, *you* and *we*) and explicit commentary and evaluation (pp. 442-3)

Fludernik's reservation of the term narrator is not restricted to the first person, as we saw in Hamburger's and Banfield's theories, but Fludernik also considers explicit commentary and evaluation as signs of the narrator. These two categories are rather "murky", as Fludernik points out herself, and therefore not clearly defined. She discusses whether a description such as 'rather tall' is

evaluative or neutral. This is determined by the presence of a reflector²¹ or narratorial consciousness which the description may emerge from. Thus Fludernik rejects the presence of a narrator as an obligatory participant in narrative fiction, and considers narration and non-narration (reflector mode) as two poles in a continuum.

Another recent non-communicative critic is Lars-Åke Skalin. In his article 'Den Onödige Berättaren' (2003) he rejects the communicative outset in narrative theory and replaces the narrator with mimetic structures, i.e. story internal constructions wherefrom descriptions may emerge. Skalin does not see the need for a narrator in descriptions like the following:

[Mr John Dashwood] was not an ill-disposed young man, unless to be rather cold-hearted, and rather selfish, is to be ill-disposed: but he was, in general, well respected; for he conducted himself with propriety in the discharge of his ordinary duties. Had he married a more amiable woman, he might even have been made still more respectable than he was; he might even have been made amiable himself; for he was very young when he married, and very fond of his wife. But Mrs John Dashwood was a string caricature of himself; more narrow-minded and selfish (Jane Austen *Sense and Sensibility* (1994 (1811): 3); quoted in Skalin 108).

The characterization of Mr. and Mrs. John Dashwood is, according to Skalin, a story internal construction rather than the subjective presentation of a heterodiegetic narrator. The characterizations are always motivated by story internal aspects such as their position in the story, the background and their relation to the protagonists (Skalin 2003: 108). As is characteristic of the non-communicative approach, Skalin considers the story from a text internal point of view rather than an external viewpoint. This enables him to consider the narrator as unnecessary:

Ty att texter som vi klassificerar som berättelser skulle ha en skapare är ett nödvändigt antagande. Att alla texter som vi klassificerar som berättelser också skulle ha karaktär av något meddelat från en berättarsituation till en mottagare är dock obevisat (Skalin 2003: 97)

This non-communicative approach can also be found in the early Chatman who in *Story and Discourse* (1978) made the following observation:

In the strict sense, of course, all statements are "mediated," since they are composed by someone. Even dialogue has to be invented by an author. But it is quite clear (well established in theory and

²¹ The 'reflector mode' is borrowed from Stanzel's terminology where a reflector character is a character who functions as internal focalizer.

criticism) that we must distinguish between the narrator, or speaker, the one currently “telling” the story, and the author, the ultimate designer of the fable, who also decides, for example, whether to have a narrator, and if so, how prominent he should be. It is a fundamental convention to ignore the character (Conrad’s Marlow) or an intrusive outside party (the narrator *Tom Jones*). Or he may be “absent,” as in some of Hemingway’s or Dorothy Parker’s stories containing only dialogue and uncommented-upon action[...] Thus there is no reason for positing some third category of narrative (like “dramatic” or “objective” or the like) since that is essentially “‘non-narrated’ narrative.” (Chatman 1980 (1978): 33-4)

In his later work, Chatman rejects this literary view and places himself in the communicative approach (see Chatman (1990)).

3.6 Preliminary Summary

The non-communicative approaches to literature are not identical, but they agree on one important factor, namely that narrative fiction is not communication *pr. definition* on the intratextual level. In her article ‘New Wine on Old Bottles?’ (2001), Fludernik summons up the non-communicative conception of the communicative approach as follows:

Nothing demonstrates as clearly the weakness of the communicational thesis as this constraint to find a narrator’s voice behind the linguistic surface structure, to impute existence to a fact of diction. This weakness of the communicational model, however, relates to the *theoretical* level of analysis exclusively. In terms of readers’ reactions to individual texts, the tendency to attribute stylistic features to a hypothetical narrator persona and/or a character is a simple fact. However, this fact (the readers are led by the illusionism of the narrative to impose communicational framework on the text) does not necessitate the stipulation of a narrator persona on the theoretical level at all. After all, narratologists are then repeating readers’ interpretative moves on a theoretical level, without due consideration of the illusionism involved (Fludernik 2001: 623)

Here Fludernik makes a clear distinction between the levels in which the two approaches analyze texts: the reader’s level and the textual level – what I have referred to as the **communicative** and the **linguistic** level. In the non-communicative approach, the third person narrator is a convention the reader infers the text, whereas the communicative approach identify signs of the narrator in most of the text which is not direct speech. We can compare the communicative examination with the work of forensic detectives. When solving a crime, the search of the perpetrator is the detectives’ primary task. By examining the scene of the crime and gathering traces of the perpetrator, such as DNA, garments and other traces, the detectives can create a picture of the person or persons responsible for the crime. When making a textual analysis the communicative examination is very

similar to the examinations carried out by crime detectives. The literary text contains a number of different subjects which each leave different traces in the text. It is not always easy to see who is doing what. In order to make a solid analysis, and in order to answer the questions ‘Who sees?’ and ‘Who speaks?’, the analytic needs to identify as many traces as possible and trace them back to their origins. In the communicative approach, all utterances emerge from a subject, whether a character or a narrator. There is thus always a person responsible, just like in the act of crimes.

This is not the case in the non-communicative approach. Here the text is examined from the linguistic level. The narrator is not obligatory but rather a participant which may or may not be present. The decisive question to ask is thus not how the narrator organizes the textual universe but rather how the textual universe is organized. The communicative level is subsequently no longer valid when we consider the text from a non-communicative perspective. Here the narrator is secondary and the linguistic markers primary. When examining narrative fiction from a linguistic level the priorities given to the narrator in the communicative approach are no longer valid. This is a natural consequence, since the linguistic analysis is not based on an anthropomorphic understanding of the narrator. To talk about the role of the narrator is therefore not relevant since the author is the one who is in charge of the textual universe, not the narrator.

Having presented the two different approaches to the study of narration in narrative fiction I will now take a closer look at the textual manifestation of the narrator.

Chapter 4

The Linguistic Structures

4.1 Lexical Evaluation and Grammatical Markedness

As already mentioned, there has been a long tradition for examining grammatical and lexical markedness in narrative fiction. In the traditional narratology we can mention Stanzel (1984 (1979)) who sets out to “systematize the various kinds and degrees of ‘mediacy’ (*Mittelbarkeit*) that result from the shifting relationship in all storytelling between the story and how it is being told” (Preface in Stanzel 1984: xi). This aim is very much identical with the aim of the present study. One could question whether there is a difference between Stanzel’s ‘narrative situations’ and my ‘forms of narration and discourse’. However, when working with these two constructions one soon realizes that there is one decisive factor separating the two approaches, and that is the level from which the

theories are developed. The three narrative situations constructed by Stanzel (the ‘first-person narrative situation’, the ‘authorial narrative situation’ and the ‘figural narrative situation’) are developed on the communicative level, and are mainly concerned with the position of the narrator. The first-person narrative situation and the authorial narrative situation roughly corresponds with Genette’s terms ‘homodiegetic’ and ‘heterodiegetic narration’. In the figural narrative situation the heterodiegetic narrator mediates the internal focalization of a character to the reader. The narrator is thus an obligatory participant in heterodiegetic narration. Rather than considering the text from the linguistic level, Stanzel’s theories rest on the communicative level and this effects his categorizations.

Another narratologist who distinguishes between different narrative situations is Mieke Bal (1985). She bases her distinction between the personal and the impersonal situation on the following forms:

	<i>Personal</i>	<i>Impersonal</i>
1 person pronouns	I / you	he / she
2 grammatical person	first and second person	third person
3 tense	not all past tenses are possible	all past tenses
4 deixis:		
indicative pronouns	this, these	that / those
adverbs of place	here / there	in that place
adverbs of time	today, tomorrow	that day, the day after
5 emotive words and aspects	Oh!	(absent)
6 conative words and aspects:	please	(absent)
7 modal verbs and adverbs which indicate uncertainty in the speaker	perhaps	(absent)

(Bal 2002 (1985): 47-8)

These seven categories are all important to the examination of narrative fiction. Despite the fact that Bal’s schema is based on linguistic devices, it still has some drawbacks and deficiencies. First, the schema is developed on the communicative level. This means that the markers of personal deixis and emotive, conative, modal verbs and adverbs all are ascribed a narrator in the text. Secondly, Bal misses the syntactic markedness, and the effect of stylistic language and figure of speech. These two observations are typical weaknesses in most theories developed within traditional narratology (i.e. in the communicative approach). Another weakness in her schema is her omission of the use of

ordinary adjectives on the level of narration. Whether the narration is evaluative or not is of great importance in the analysis of what she refers to as the (im)personality of the text. The more evaluative the text is on this level, the more personal it appears to the reader.

Apart from the weaknesses mentioned above, Bal's distinction between grammatical forms, tense, deixis and evaluative expressions is very useful. In the Scandinavian literary tradition the examination of these forms can be traced back to Andersson and Furberg (1966), who identify two kinds of evaluation markers, 'aspektmarkører' ('aspect markers') and 'perspektivmarkører' ('perspective markers'), in *Sprog og Påvirkning* (1966). While 'aspect' concerns the choice of words and evaluative expressions, 'perspective' is an examination of word order and centre of perspective. These two issues are central in textual analysis and can be linked to the two axes of language, i.e. the 'syntagmatic' and the 'paradigmatic' axes introduced by Saussure (1916). The syntagmatic axis is concerned with the combination of selected signs, whereas the paradigmatic axis constitutes the selection which has to be made between the possible signs.

The selections and combinations can be made on several levels in the structure of language. As mentioned above I will distinguish between two main levels: a 'grammatical level' and a 'lexical level' or 'system':

	Paradigmatic	Syntagmatic
Lexis	nice vs. sweet; figure of speech	The cat sat on the mat vs. The mat sat on the cat
Grammar	question vs. statement;	SPO vs. PSO; stylistics

In the lexical system it is the lexicality of the words we examine, where a certain lexeme emerges from and the kind of evaluation expressed. A lexeme is 'evaluative' when it carries an attitude towards an entity. We distinguish between evaluations emerging from the level of narration and evaluations emerging from story level. Evaluation on the level of narration is the key to understanding the ideology of the text and how the textual universe is presented to the reader. On this level we can examine whether the text is evaluative and thereby trying to control the reader's assessments, or whether the text leaves it to the reader to evaluate the events. On the communicative level the evaluation on the level of narration has often been ascribed the narrator or the implied author (Fludernik 1996: 218). However, since these two subjects are not textually retrievable on the linguistic level, the evaluation is rather considered as elements constituting the subjective worldview of the text. The evaluation markers are often seen in epithets, as found in a number of

titles of Andersen's fairytale ("The Wicket Prince", "The Ugly Duckling", "The World's Fairest Rose" etc.). When the evaluation cannot be traced to a character it belongs to the level of narration.

In the grammatical system we are concerned with the structure of the text rather than the meaning of the words. A structure can be marked or unmarked. Markedness arises when the structure draws attention to itself either by unusual combinations of tense, deixis and narration for example, or by using syntactic structures which deviate from standard forms. These kinds of markedness cause different forms of narration and discourse.

Subjectivity on the syntagmatic axis may either be located in the grammatical structure and vary from choice of constituent order (e.g. fronting or inversion) to the choice of tense form, deixis and the use of stylistic language (e.g. alliteration). Syntagmatic markedness may also be expressed on the lexical level. Here it is the combination or order of the lexis which is of interest. On the lexical level it is generally the choice of evaluative lexis (e.g. nice vs. sweet) and figure of speech (e.g. metaphor, metonymy etc.) which is in focus.

A differentiation between the two axes and the two levels will enable a more goal oriented and structured approach to textual analysis. What we are searching for is the meaning or attitude behind the linguistic structures and choice of lexis – information which is vital in the analysis of the narrative level:

In manipulating these two kinds of connection (similarity and contiguity) in both their aspects (positional and semantic) – selecting, combining, and ranking them – an individual exhibits his personal style, his verbal predilections and preferences (Jakobson 1980 (1956): 91)

This statement was put forward by Roman Jakobson when he examined the metaphoric and metonymic poles of language. If we assume this understanding of the two axes as carriers of style, predilections and preferences, we can place the fundamental narratological analyses on the paradigmatic and syntagmatic axes. The distinction between examinations such as internal and external focalization will then be determined on the basis of observations made on the two axes. An examination of the two axes will, moreover, shed some light on the distinction between the voices on the level of narration and the voices on story level.

Before examining the various forms of narration and discourse we may encounter in narrative fiction, we will take a closer look at the subjects manifested on the linguistic level.

4.2 The Subjects on the Linguistic Level

In order to differentiate the communicative and linguistic levels of analysis and in order to capture the different narrative situations on the two levels, a new set of terminology needs to be introduced. As has already been pointed out, the term 'narrator' is a construction situated on the communicative level. When working on the linguistic level the term is inadequate because it will be approached from a textual level and not from the reader's communicative approach to the text. Consequently, in the introduction we replaced the term narrator with 'enunciation subject' on the linguistic level. This term is applied by Benveniste who introduces yet another subject, namely the 'subject of utterance'. These two subjects – the enunciation subject and the subject of utterance – can be distinguished as follows: if a journalist says "Yesterday George W. Bush won the election", the journalist is the enunciation subject (i.e. the speaker), whereas Bush is the subject of utterance (i.e. the grammatical and functional subject in the sentence). In the sentence "Yesterday I won the election", 'I' is both the enunciation subject and the subject of utterance. What the two terms enable is a distinction between the actual speaker and the person spoken about. This distinction is useful when working with narrative fiction because the two subjects trigger two different narrative situations: in first person narration both subjects are usually present, whereas in third person narration the only subject present is the subject of utterance. This means that if an evaluation or syntactical markedness cannot be traced to a subject of utterance, then we can speak of evaluation or markedness emerging from the text itself, forming the subjective worldview. The evaluation or markedness is thus subject-less.

If we return to the discussion about narratives without narrators we are now able to specify what the non-communicative approach means by this, according to some opinions, provocative statement. It is namely the presence of the enunciation subject which is the key issue in this discussion, not the subject of utterance. In the communicative approach narratologists tend to disregard this distinction and derive an enunciation subject from the subject of utterance. This is reflected in the term 'third person narrator'. Here the subject of utterance (i.e. the third person) is turned into an enunciation subject. The narratologists are thus enabled to talk about a narrator despite its absence. However, this is not its actual function. I would like to advocate for a clearer distinction between these subjects and call for a more specific terminology when discussing narration. Rather than talking about narratives without narrators, it is more accurate to talk about narratives without enunciation subjects, when working on the linguistic level. In third person

narratives the only subject we meet is the subject of utterance. Consider for example the following opening of Barthelme's 'The Explanation' (1987):

Q: Do you see what she's doing?

A: Removing her blouse.

Q: How does she look?

A: ...Self-absorbed.

Q: Are you bored with the question-and-answer form?

A: I am bored with it but I realize that it permits many valuable omissions: what kind of day it is, what I'm wearing, what I'm thinking. That's a very considerable advantage, I would say.

Q: I believe in it (Barthelme 1987: 35)

In this paragraph we only see the direct discourse of two subjects of utterance. There is no enunciation subject present in this part of the text seen from a linguistic level. The non-communicative narratologists would, however, claim that the 'A' and 'Q' introducing the utterances are signs of the narrator. Some will also claim that the selection of the utterances can be traced to the narrator.

The distinction between the enunciation subject and the subject of utterance can be explained more closely if we turn to the theory of deixis.

4.3 Deixis in Narrative Fiction

The term 'deixis' originates from the Greek word 'deiktikos' which means 'to point out'. Deixis has also been referred to as 'shifters' (Jespersen (1922)) or 'pointers'. The term 'deixis' was first applied by Karl Bühler in *Theory of Language* (1990 (1934)). In this work Bühler recognizes the importance of the context in the speaking situation when decoding deictic expressions. There are two different contexts which can be of importance to the understanding of deictic expressions: the physical context in which the speaking situation is performed, and the textual context. The latter is only concerned with the cohesion of the text, how an expression refers back or forth to elements in the sentences. This context has also been referred to as the 'co-text'. Bühler distinguishes between three kinds of deixis based on the two contexts: 'ad oculos', 'anaphora' and 'deixis at phantasma'.

In 'deixis ad oculos' the speaker and addressee share the same physical context, and the deictic expressions obtain meaning according to the speaker's 'here' and 'now'. The speaker can

therefore use gestures in order to point out a certain element existing in the real world. This form of deixis is mainly used in oral language, where the communication partners share time and space.

‘Anaphora’ is concerned with the cohesion of the text. Here the deictic expressions refer back or forth to elements which have just been treated or will be treated at a later point in the text²².

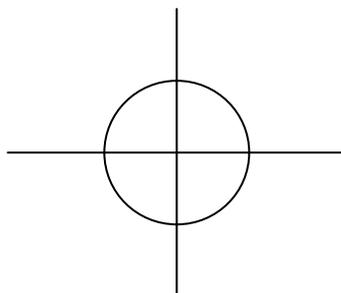
When using ‘deixis at phantasma’ the addressee is asked to use his or her imagination, since the speaker paints a picture of a world which does not exist in real life. A typical example would be a person telling another person about a dream or an imagination. In such situations, the deictic expressions belong to a world which only becomes accessible for the speaker through the speaker’s narration. Consequently, the speaker cannot point directly at elements in the dream or imagination since they do not exist in real life. This form of deixis is characteristic of narrative fiction. Here the textual world only exists in the narration of the story. It is mainly this form of deixis we are interested in when examining how the enunciation subject presents the fictional universe in narrative fiction.

4.3.1 The Deictic Markers and Narration

There are three main deictic markers, namely ‘I’, ‘here’, ‘now’. Bühler describes them as follows:

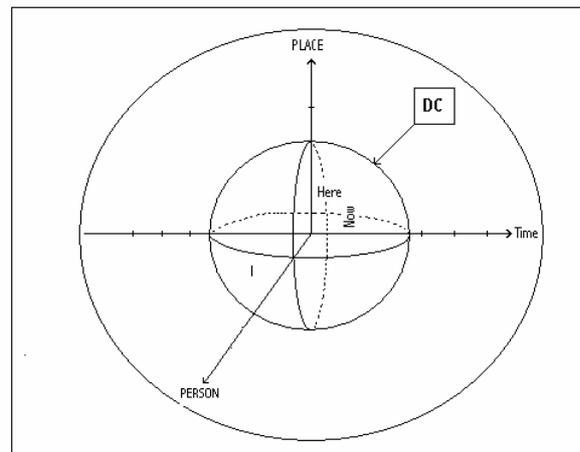
In the sound form, in the phonetic pattern of the words *now*, *here*, *I* there is nothing conspicuous; it is only peculiar that they ask, each in turn: look at me as a sound phenomenon, take me as a moment marker, as a place marker, as a sender marker (sender characteristic) (Jarvella and Klein 1982: 14)

Bühler places the three deictic markers at the Origo (i.e. the centre) of the following system:

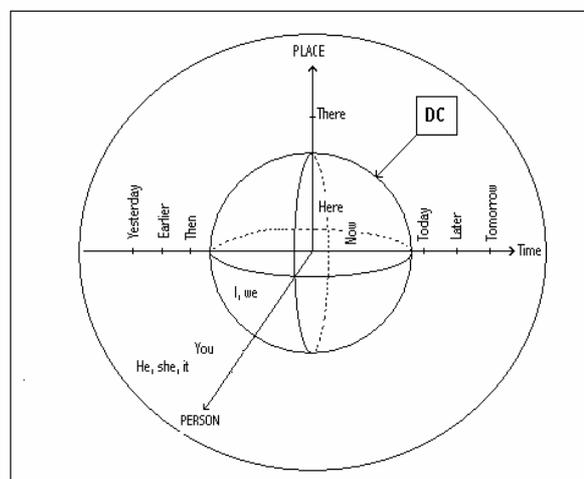


²² In more recent theory there has been a distinction between anaphoric and cataphoric deixis (see Levinson 1983)

The Origo is the zero point of the enunciation subject's position in time and place. This has also been referred to as 'the deictic centre'. The system consists of three coordinates, or, what we can call, three main types of deixis: 'personal deixis', where 'I' is at the deictic centre, 'spatial deixis' where 'here' is at the deictic centre, and 'temporal deixis' where 'now' is at the deictic centre. When unfolded in the coordinate system it looks as follows:



The figure is three dimensional and contains the three aspects of deixis: time, place, and person. The three elements placed in the deictic centre can be assembled in the following sentence: 'I am here now'. Each marker has its own counterparts, which are distanced in relation to the deictic centre. These are the words 'you', 'there' and 'then'. These markers must be placed outside the DC:

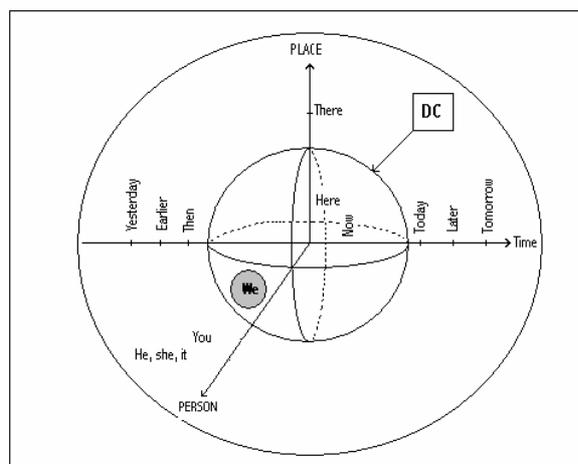


The inner circle encompasses the deictic markers referred to as ‘proximal deixis’ (following Levinson (1983:62)) forming a contrast to the ‘distal’ markers placed in the next circle. The sentence ‘He was there then’ summons up the distal markers. Fludernik refers to the distal and proximal markers as ‘absolute deixis’ (1993: 228).

The deictic markers all have one thing in common, and that is the fact that they are relative to the ‘here’ and ‘now’ of the enunciation subject. Consider the following example:

Our scene is laid in Northern Jutland, in the so-called “wild moor.”...Now we are there, and roll past between barns and other farm buildings; and at the left of the gate we turn aside to the Old Castle Farm, where the lime trees stand in lines along the walls, and, sheltered from the wind and weather, grow so luxuriantly that their twigs and leaves almost conceal the windows. We mount the winding staircase of stone, and march through the long passages under the heavy roof-beams. The wind moans very strangely here, both within and without. (Andersen “The Bishop of Børglum and His Warriors” 1984 (1861): 621 – my emphasis)²³

Although the extract above contains more proximal than distal markers it is still important to note that both forms are employed. The two forms, however, are dependent of the distance between the enunciation subject and the space and time referred to. This can be illustrated in the following figure:



²³ Nu ere vi oppe i Jylland, helt nærved; men foran os løfter sig en kjerne i det dybe Sand. Oppe på endnu Kirken; derop komme vi nu langt vidt omkring, over Mark og Nu ere vi deroppe, nu rumle vi i Lindetræerne staae i Række langs Vinduerne.

Vi gaee op ad den steenlagte Vindeltrappe, vi gaee hen ad de lange Gange under det Bjælkeværks Loft, Vinden suser her saa underlig, ude eller inde (Andersen 1966: 202)

ivor det ruller, det er ganske henimod den, langsommelig m Kloster, den største Fløi er er; man seer saa langt, saa ver det mørkeblaae Hav. n gamle Borggaard, hvor saa Grenene næsten skjule

The circle around the ‘we’ indicates that the deictic markers obtain meaning proportional to this ‘we’ and is therefore bound to the ‘here and now’ of this subject. The semantics of the proximal markers is thus dependent on the position of the ‘we’. The sentence ‘Now we are there’ can thus only be decoded when the reader is acquainted with the time and space of the ‘we’. The space is explicitly determined in the first sentence ‘Our scene is laid in Northern Jutland, in the so-called “wild moor.” The locative adverb ‘there’ is an anaphor, pointing back at this sentence. In the sentence ‘The wind moans very strangely here’ the distal, locative adverb has now been replaced by the proximal marker ‘here’.

It is tempting to conclude that in homodiegetic texts we find both proximal and distal markers, whereas heterodiegetic texts only involve distal deixis (‘you were there yesterday’), since there is no enunciation subject present. This is, however, a rough simplification. Consider the following two extracts from H. C. Andersen’s two fairytales “The Child in the Grave” (1859) and “The Wild Swans” (1838):

She sat down, and bent her head low over the grave, as if she could see her child through the earth that covered him—her little boy, whose smile was so vividly before her, and the gentle expression of whose eyes, even on his sick-bed, she could not forget. How full of meaning that glance had been, as she leaned over him, holding in hers the pale hand which he had no longer strength to raise! As she had sat by his little cot, so now she sat by his grave; and here she could weep freely, and her tears fell upon it (The Child in the Grave (1984: (1859): 333 – my emphasis)²⁴

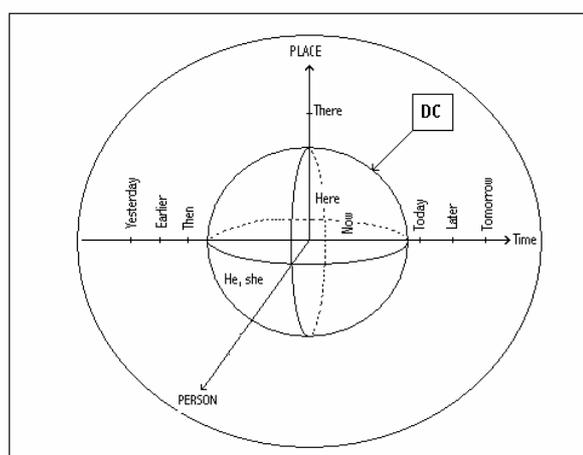
She thought of her brothers, and felt sure that God would not forsake her. It is God who makes the wild apples grow in the wood, to satisfy the hungry, and he now led her to one of these trees,

²⁴ hun satte sig ned, bøiede sit Hoved imod Graven, som skulde hun gennem det tætte Jordlag kunde see sin lille Dreng, hvis Smiil hun saa levende huskede; det kjærlige Udtryk i Øinene, selv paa Sygeleiet, var jo aldrig til at glemme, hvor talende havde der hans Blik været, naar hun bøiede sig over ham og tog hans fine Haand, den han ikke selv mægtede at løfte. Som hun havde siddet ved hans Seng sad hun nu ved hans Grav, men her havde Taarerne frit Løb, de faldt paa Graven (Andersen 1965: 1954-55)

which was so loaded with fruit, that the boughs bent beneath the weight. Here she held her noonday repast, placed props under the boughs, and then went into the gloomiest depths of the forest (The Wild Swans 1984 (1838): 36 – my emphasis)²⁵

Both texts are written in the third person but still contain proximal markers. This combination does not give rise to any confusion on the semantic level. The meaning is still intact although the combination of third person narration, proximal deixis and past tense seems to be an odd mixture seen from a theoretical perspective. In everyday speech past tense is usually connected with events experienced in the past, whereas proximal deixis points at the present situation. The reason why these two constructions do not clash is simply because the past tense has a different function in narrative fiction than in non-fiction (as was pointed out by Hamburger (1973)).

What is important to note in the paragraphs cited above, is the fact that the proximal markers have an important effect on the relation between the narration and the action experienced by the subject of utterance. By employing proximal markers the distance between the narration and the action on story level is diminished and the reader, seen from the communicative level, experiences a more immediate access to the narrated events. Thus in heterodiegetic narrative texts, the proximal markers refer to the relation between the action and the characters rather than the enunciation subject. It is thus the subject of utterance which functions as the I-Origo. What we are witnessing is a situation where the third person pronoun has moved into the deictic centre. This can be illustrated as follows:



²⁵ Hun tænkte paa sine Brødre, tænkte paa den gode Gud, der vist ikke vilde forlade hende; han lod de vilde Skovæbler groe, for at mætte den Hungrige; han viste hende et saadant Træ, Grenene bugnede af Frugt, her holdt hun sit Middagsmaaltid, satte Støtter under dets Grene og gik saa ind i den mørkeste Deel af Skoven (Andersen 1963: 128)

In this model the proximal personal marker 'I' is replaced by the distal personal markers 'she' and 'he'. It is thus the time and place of the third person which fills in the semantic meaning of the deictic markers. The markers are therefore relative to the subject of utterance's position in time and space which means that the I-Origo emanates from the subject of utterance (the 'she') rather than an enunciation subject, as is the case in homodiegetic narrative texts. The use of proximal markers in heterodiegetic narrative texts does not, however, influence the form of narration and discourse. It only effects the distance between the events and the narration.

The construction of the third person pronoun placed in the deictic centre is mainly characteristic of fiction. In non-fiction the combination only appears in situations where the speaker and the subject of utterance share the same time. One example could be a live broadcast, like the one most Danes witnessed the 14th of May 2004 where the Danish Crown Prince married his Princess ('She is now walking down the aisle...'). Another situation could be commentators commenting on a football game. This form of narration rarely appears in everyday conversation.

But what is the effect of employing proximal deixis in narrative fiction when the enunciation subject is absent? Let us imagine that the proximal markers were replaced by distal markers. Then we would have the following sentences:

She sat down, and bent her head low over the grave, as if she could see her child through the earth that covered him—her little boy, whose smile was so vividly before her, and the gentle expression of whose eyes, even on his sick-bed, she could not forget. How full of meaning that glance had been, as she leaned over him, holding in hers the pale hand which he had no longer strength to raise! As she had sat by his little cot, so then she sat by his grave; and there she could weep freely, and her tears fell upon it

She thought of her brothers, and felt sure that God would not forsake her. It is God who makes the wild apples grow in the wood, to satisfy the hungry, and He then led her to one of those trees, which was so loaded with fruit, that the boughs bent beneath the weight. There she held her noonday repast, placed props under the boughs, and then went into the gloomiest depths of the forest

In these sentences there arises a more distant relation between the action in the story and the narration. The action is narrated from a distance and the I-Origo no longer emerges from the third

person. The question left to answer is then where the I-Origo emerges from. On the communicative level the communicative approach would claim that the markers emerge from the narrator. However, seen from the linguistic level, there is no explicit enunciation subject present in the text. The distal markers are only elements of language use employed on the same level as the remaining textual elements. This means that the distal markers create a sense of distance towards the action, a distance which should not be referred back to a subject, but which rather should be seen as different variations of the forms of narration and discourse as we will see in the following chapters. So far we have identified two different variations: one consisting of third person narration, proximal markers and past tense, and another consisting of third person narration, distal markers and past tense. A third variation could be third person narration, distal markers and present tense:

She thinks of her brothers, and feels sure that God will not forsake her. It is God who makes the wild apples grow in the wood, to satisfy the hungry, and He then leads her to one of those trees, which is so loaded with fruit, that the boughs bend beneath the weight. There she holds her noonday repast, places props under the boughs, and then goes into the gloomiest depths of the forest

This combination does not give rise to any problems but serves to illustrate that form in narrative fiction can take many different shapes and may combine the linguistic constructions in various ways²⁶. From this perspective, fictional language is more flexible than non-fictional language.

The first and third person pronouns are not the only pronouns which are capable of entering into the deictic centre. Consider the following excerpt:

After a short walk you stopped on the slope of the hill. The rug was spread on the grass. Your mother unpacked the basket and then began laying out the sandwiches, a tea-flask, lemonade and some fruit, while your father smoked a cigarette. The hiss overlooked the main road, and after a few minutes you asked if you could go and play with the toy car and caravan parked in the layby below.

Your mother laughed, saying that it wasn't a model but big and full-sized. You didn't believe her – you could see quite clearly that it was no larger than your thumb-nail.

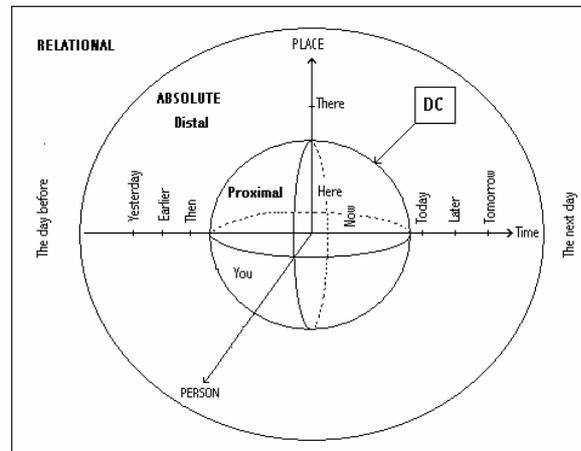
Suddenly you got up and began running down the hill.

They shouted after you to come back, to watch the road. Even now, over thirty years later, you sometimes sense your father stumbling after you, still trying to catch up with you. So you ran faster.

²⁶ In the sentence "It is God who makes..." we have a special construction of tense (what has been referred to as the 'gnomic present tense') which I will return to in Chapter 6.

The car and caravan are not far away now – and you can't wait to begin playing with them
(Butlin 2002 (1987) p.4 – my emphasis)

In the last paragraph there are two different 'now's' emerging from two different I-Origos: the 'now' of the 'you' in the story time, and the 'now' of the 'you' thirty years later. In the first part of the excerpt the 'you' functions in a similar way just as the 'she' in the paragraphs quoted from Hans Christian Andersen's texts. The 'now' is dependent on the time of the 'you', i.e. the subject of utterance, as the 'now' was dependent on the 'she' in Andersen's texts. The 'you' must thus be placed in the deictic centre:



In the sentence “Even now, over thirty years later...” the ‘now’ is dependent on the time of the enunciation rather than the subject of utterance. At the end of the story we learn that the enunciation subject becomes explicit in the form of an ‘I’ who is the same person as the ‘you’. This is how the story ends:

It is only *now* that you are aware of Mary clutching on to you, her voice screaming at you to stop. There are tears running down your face as you release the accelerator and begin to slow down. When the car comes to a halt on the hard shoulder you are weeping uncontrollably. Your tears – and mine (Butlin 2002 (1987): 113-4 – original emphasis)

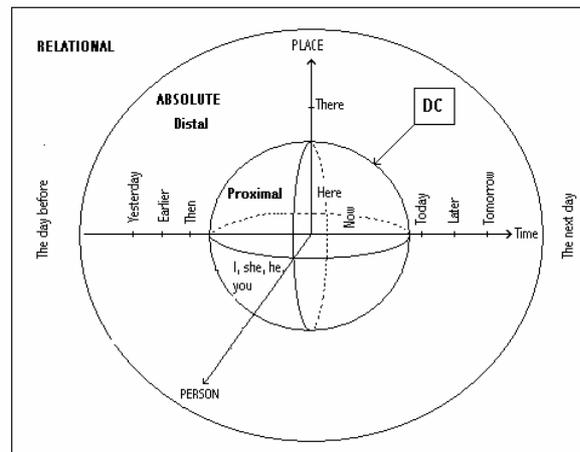
Thus the different markers of time refer to one and the same person (the ‘you’) at two different stages or time. The older ‘you’ not only functions as subject of utterance but also fulfils the role as enunciation subject: it is this ‘you’ who narrates the story.

The second person pronoun may also serve a second function, namely that of the addressee as is the case in the opening of *If on a Winter’s Night a Traveler*:

You are about to begin reading Italo Calvino’s new novel, *If on a winter’s night a traveler*. Relax. Concentrate. Dispel every other thought. Let the world around you fade. Best to close the door; the TV is always on in the next room. Tell the others right away, “No, I don’t want to watch TV”!. Raise your voice – they won’t hear you otherwise – “I’m reading! I don’t want to be disturbed!” Maybe they haven’t heard you, with all that racket; speak louder, yell: “I’m beginning to read Italo Calvino’s new novel!” Or if you prefer, don’t say anything; just hope they’ll leave you alone (1981 (1979): 3)

Here the ‘you’ refers to the addressee, i.e. the narratee. The deictic centre is thus unmarked in the sense that the ‘you’ belongs to the distal markers rather than the proximal ones.

The examinations above have illustrated that fictional language may be a mixture of many different linguistic forms. In order to adapt our theoretical model to the examinations, the model must be readjusted as follows:



As the examinations have show, the personal pronouns can fill out different functions in the narrative. This will be further examined in the following section.

4.3.2 Personal Deictic Markers and Markedness

In the previous section we learned that the personal deictic markers can refer to three different communication partners: the enunciation subject, the addressee or the subject of utterance. Basically we connect certain markers of deixis – what I will refer to as ‘deictic category’ (following Bang and Døør (1990)) – with particular ‘communication partners’: ‘I’ is the enunciation subject, ‘you’ is the addressee and ‘he’, ‘she’ or ‘it’ is the subject of utterance. An example could be ‘Let me tell you something about him’. In this sentence, the communication partners are referred to by the expected deictic categories:

- ‘I’ (‘me’) = enunciation subject
- ‘you’ = addressee
- ‘him’ = the subject of utterance

In this sentence the deictic categories are used according to what we will call their **basic forms**. This can be illustrated in the following schema:

Deictic Category (D)				
Role of communication (C)	I/we (D1)	You (D2)	He/she/it (D3)	You/one (D0)
Enunciation subject (C1)	1. Basic form C1:D1	C1:D2	C1:D3	C1:D0
Addressee (C2)	C2:D1	2. Basic form C2:D2	C2:D3	C2:D0
Subject of Utterance (C3)	C3:D1	C3:D2	3. Basic form C3:D3	C3:D0

According to this schema we can clarify the exact function of the deictic categories. When the enunciation subject is referred to as ‘I’ or ‘we’, the form is (C1:D1). When the addressee is mentioned as a ‘you’, the form is (C2:D2). And finally, when the subject of utterance is mentioned as ‘he’, ‘she’ or ‘it’, the form is (C3:D3). A fourth category is the general use of you/one. These two words are always marked when used as (C1:D0) because they generalize and impersonalize the enunciation subject.

When the deictic markers function according to these basic forms, the sentences are unmarked (indicated by grey in the schema). However, as the examinations above have shown, we often find examples where the markers fill out a different function than their basic function – a point I will return to in Chapter 6, 7, 8 and 9. If we return to the texts treated in the previous section, we can place them in the model above. The ‘she’ in Andersen’s two texts both follow the basic form as they function as the subject of utterance (C3:D3).

In *The sound of my Voice* the ‘I’ speaks of himself as a ‘you’ most of the text. But then in the ending an ‘I’ appears and merges with the ‘you’ and it is clear that the two are one and the same person. This means that the deictic marker ‘you’ performs a different function than the basic form; the ‘you’ is not the addressee but the enunciation subject (or the one talked about?). We therefore have a situation where the deictic marker deviates from the basic form. Rather than the basic form (C2:D2) we have an example of a (C1:D2).

In the opening of *If on a Winter's Night a Traveler* the 'you' is the addressee and is an example of the basic form (C2:D2). It is of course a broad 'you', since the author has no idea, who the real reader will be. This broad 'you' can also be seen in non-fiction, one example could be commercials or advertisements.

In the schema above it is possible to explain how the communicative and non-communicative approaches deviate. According to the communicative approach, the unmarked form in heterodiegetic narration would be (C1:D3) rather than (C3:D3). The enunciation subject would have been replaced by the narrator and the subject of utterance deleted:

Deictic Category (D)				
Role of communication (C)	I/we (D1)	You (D2)	He/she/it (D3)	You/one (D0)
Narrator (C1)	Obligatory form C1:D1	Obligatory form C1:D2	Obligatory form C1:D3	Obligatory form C1:D0
Narratee (C2)	C2:D1	C2:D2	C2:D3	C2:D0

Here there is no room for any variations. The narrator will always be present whether appearing as first-person, second-person or third-person.

The deictic elements are not the only elements which are capable of generating marked and unmarked forms. In what follows we will turn to lexical evaluation markers and syntactic constructions creating markedness in the text.

Chapter 5

The Lexical System

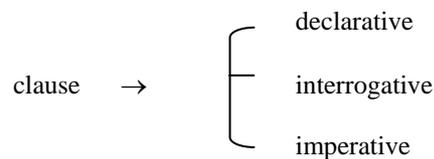
5.1 Evaluation

Evaluation on the lexical level is mainly concerned with evaluative lexis, i.e. value-laden lexemes which reveal an attitude towards a certain object or person. Lexical subjectivity is primarily expressed through the use of adjectives, but may also be located in other constituents (e.g. nouns, verbs, adverbs) or in the use of figurative language. When working with the lexical systems in narrative texts we are mainly concerned with the semantics of the words and the subject from which

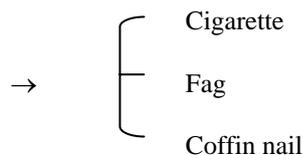
the lexis emerges. This is also the cornerstone of appraisal theory. In appraisal theory the lexis is categorized according to the individual meaning of the single words. This enables the reader to 1) identify sympathy structures on story level and the level of narration 2) examine how the different characters evaluate themselves and the other characters and 3) identify the main topics of the story. When working with third person narration, the most interesting sympathy structures are those which do not emerge from an enunciation subject or a subject of utterance. It is such evaluations which generate a sense of “presence” of a narrator on the communicative level. Before elaborating on this point, we will see how appraisal theory is structured for use.

5.2 Appraisal: Language as a Set of Systems

Appraisal theory has been developed within the systemic functional linguistic tradition, where language is considered a resource for creating different meanings through lexis and grammar. The term ‘systemic’ refers to the tradition of considering language as a set of systems consisting of an ‘entry condition’ and two or more ‘terms’ which stand in opposition (Eggins 1994: 205). Meaning is established by considering every choice in relation to potential choices. The choices are related to the grammatical systems or the lexical system. The grammatical system may for example refer to clause types:



This system contains the following claim: when forming a clause, a choice must be made between a declarative, an interrogative or an imperative form. The systems may also be lexical and refer to word choice:

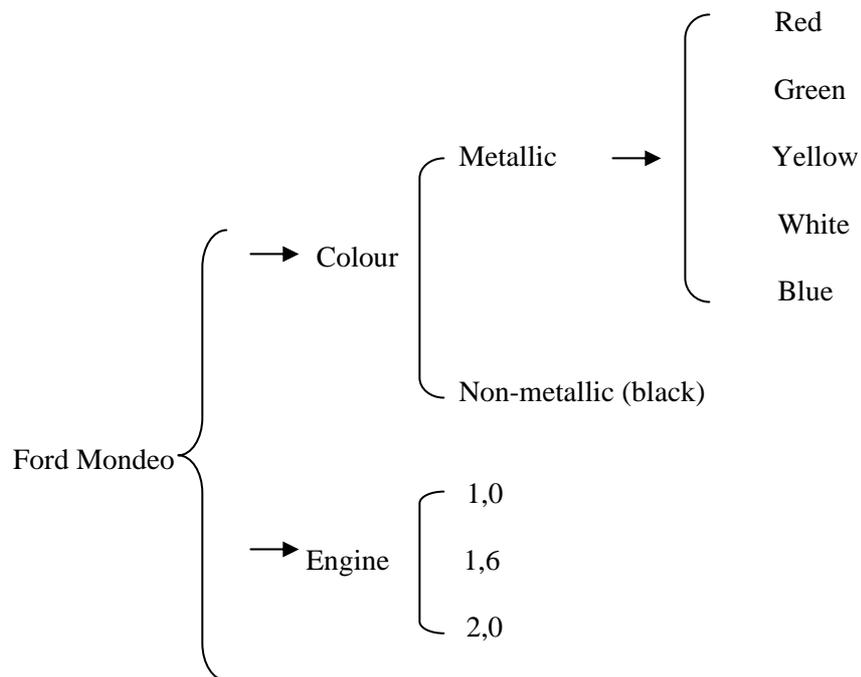


Here the speaker must decide which expression to use. The actual choice reflects the attitude of the speaker towards the phenomenon. The choice will thus always be considered in relation to potential choices. The expression 'coffin nail' is noticeable because there are alternative and more neutral ways of referring to a cigarette²⁷.

The systems are of interest if a speaker chooses another form than the one expected by the addressee. For example if a servant uses an imperative to approach his master rather than a declarative or interrogative, the form becomes marked and draws attention to itself. Other grammatical systems could be that of tense or personal pronouns.

Systems can be more complex than those presented above. For example when buying a new car the coming owner has to make simultaneous choices; he must choose between the colour *and* the size of the engine. This is indicated by the curled brackets:

²⁷ It should be noted that such strongly coloured expressions tend to be less noticeable as they become standard expressions.



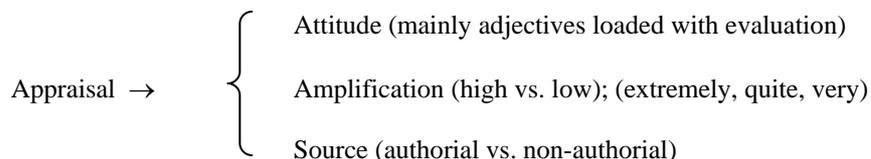
The choices are discreet in the sense that they exclude one another; for example, you cannot choose red and green at the same time. If you choose metallic, you also have to choose between the different colours. Choices may be more or less detailed, or what in SFL-terminology is referred to as ‘delicate’. The more detailed the systems are, the more delicate they will be. The choice between the different colours is more delicate than the choice between metallic and non-metallic. Some systems have a strong degree of delicacy (see for example the network in Eggins 1994: 211). The choices are more or less related either as near-synonyms²⁸ or oppositions.

Authors are also faced with choices in a given language. It is, for example, noteworthy that Jens Martin Eriksen chooses a second person narrator in *Jim og jeg* (1989), or that F. P. Jac in *Fortælleren blev senere sig selv* (1998) and Jens Christian Grøndahl in *Virginia* (2000) alternates between the linguistic forms, or that most of the short stories by Sonnergaard are written in the first person. In these examples the writers choose between tense forms and pronouns, which are part of the linguistic system. Thus we can say that markedness on the level of grammar is evoked in the grammatical systems whereas lexical subjectivity is conveyed through choices of lexis.

²⁸ The term ‘near-synonyms’ reflects the general agreement that no words carry the exact same meaning. Different words will always have different meanings, although the difference may be minimal.

5.3 Appraisal Systems

Appraisal theory is based on three main systems: ‘attitude’, ‘amplification’ and ‘source’ (<http://www.grammatics.com/appraisal/>)²⁹:



The system is complex, as the members (attitude, amplification and source) are organized in terms of their own subsystems. As we can see above, this is marked by the bracket, which 1) indicates that the evaluative statement always expresses an attitude 2) this attitude is amplified to some degree and 3) it is connected to a source. These three aspects can be combined in the question ‘*Who says what, how?*’ which constitutes the foundation of appraisal:

Appraisal is concerned with evaluation: The kinds of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sourced and readers aligned (Martin and Rose 2003: 22)

The answer to this evaluative question can be more or less detailed depending on the delicacy of the systems. When working with lexical evaluation, the most important system is that of attitude, which concerns evaluation markers expressing a speaker’s assessment of an entity.

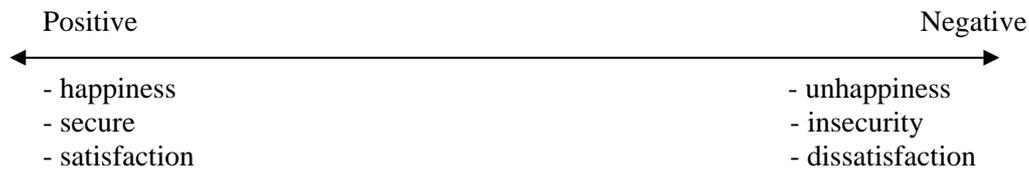
5.3.1 Attitude

There are three functional constituents in the system of appraisal: ‘evaluator’ (‘who evaluates?’), ‘evaluation marker’ (the evaluation category) and ‘evaluated’ (‘who/what is evaluated?’):

_____ { Evaluator (**The boy** loves chocolate)

²⁹ For a complete description of the different subsystems see Martin (2000), Martin and Rose (2003) or White (<http://www.grammatics.com/appraisal/>)

positive or negative. The three categories in the system of affect can be placed in a continuum between the two poles positive and negative:



The second attitude, judgement, is concerned with the ways in which people behave in relation to a social set of norms. In short we can say that evaluation is concerned with a person's 'normality' ('normal, average, eccentric'), his 'competence' ('clever, gifted, stupid') and his 'psychological dispositions' ('lazy, brave, reliable'). These personal values can be criticized, praised, condemned or applauded³¹.

The third attitude, appreciation, has to do with response to the appreciation of things and persons (e.g. unique, fascinating, beautiful, etc.). The values of appreciation are mainly concerned with aesthetic evaluation of quality, and the question to be asked is 'how do you like a particular object, artefact, process or state of affair?'. Appreciation is a major issue in what we consider as everyday gossip. An expression like 'the man was extremely handsome' belong to this evaluation form and has to do with the appearance of someone or something. But we also use appreciation when we evaluate the composition of a certain work: 'the conclusion of the dissertation is very detailed', or when we consider the relevance of an object: 'this piece of art is unique'.

5.3.2 Source

In addition, appraisal theory makes the important distinction between evaluation emerging from first, second and third person when examining the source of the evaluation marker. When a second or a third person is the source of evaluation, the evaluation form is referred to as 'non-authorial'. Here one or more characters are connected with an emotional state and the evaluation is carried out on story level. If, in contrast, the source is a first person, the evaluation is 'authorial' and thus carried out on the level of narration.

³¹ Here I follow the more simple presentation of the theory proposed by White (2003), since I find Martin's categorizations (social sanction/social esteem) too detailed for the purpose of the present analysis.

The distinction between authorial and non-authorial evaluation is very useful in the determination of narrative situations. The terms may, however, give rise to confusion when working with literary texts, since ‘authorial’ is morphologically derived from ‘author’. The two terms will therefore be replaced by the more suitable categories introduced previously, namely ‘enunciation subject’ and ‘subject of utterance’. This distinction enables us to explain a third situation which appraisal theory does not account for, namely a situation where there is no responsible source or evaluator explicitly indicated in the text. This is the situation we often find in homodiegetic texts³².

To sum up, appraisal will be applied for the following purposes:

- to identify the source/evaluator in relation to forms of narration and discourse (i.e. character discourse, character narration, authorial narration and conscious narration)
- to identify the attitude embedded in the text on the level of narration

The strength of appraisal theory lies in these two areas. The semantic grouping of the different kinds of evaluation markers will be valuable in the analysis of sympathy and thematic structures, whereas the source is important when identifying where the evaluation markers emerge from. Appraisal theory provides a new set of functional constituents (evaluator, evaluated, evaluation marker) which pose new questions, namely ‘where does the evaluation emerge from?/what is evaluated?’. The most pronounced weakness of appraisal is the lack of purely syntactic observations since most analyses are carried out on word level. Appraisal theory will therefore mainly be of use in the examination of the lexical level.

In order to illustrate how appraisal can contribute to a better understanding of the forms of narration and discourse employed in heterodiegetic narration, I will examine H. C. Andersen’s fairytale “Little Tiny” (1835). An identification of the sources will reveal a more subtle approach to what has traditionally been considered as heterodiegetic texts.

5.4 Evaluators, Evaluation Markers and Forms of Narration and Discourse in “Little Tiny”

“Little Tiny” (Andersen (1835)) is about a woman who wishes for a child. The woman’s wish is granted by a fairy, but soon the child is stolen by a toad. The child encounters great danger in the wood, but eventually ends up living happily ever after together with her prince. In the reading of the fairytale a sense of sympathy for Tiny is evoked in the reader. As the following analysis will show,

³² Appraisal has mainly been applied non-fiction. Since the evaluator as a rule always is present in non-fiction, appraisal has not been facing situations where the evaluator is absent.

this sympathy is established through the three different forms of evaluation mentioned above: through the enunciation subject, the subject of utterance and the subject-less evaluation form.

The evaluator may either emerge from story level (i.e. subject of utterance) or the level of narration (i.e. subject-less). Consider the following sentences from “Little Tiny”³³:

Tiny sailed past many towns, and the little birds in the bushes saw her, and sang, “What **a lovely little creature**,” (Andersen 1984 (1835b): 7)³⁴

But the mole pushed it aside with his crooked legs, and said, “He will sing no more now. How miserable it must be to be born a little bird! I am **thankful** that none of my children will ever be birds, for they can do nothing but cry (Andersen 1984 (1835b): 9)³⁵

“Perhaps this was the one who sang to me so sweetly in the summer,” she said; “and **how much pleasure** it gave me, you dear, pretty bird.” (Andersen 1984 (1835b): 9)³⁶

When evaluation is employed in direct speech the evaluator is explicitly indicated and belongs to the story level: it is a character who speaks and it is a character who evaluates. We will refer to this situation as ‘character discourse’. The level of narration has been omitted in character discourse, and is therefore excluded from the term ‘form of narration’. Barthelme has written a number of short stories consisting of pure dialogue (“The Leap” (1979), “On the Steps of the Conservatory” (1979), “Morning” (1979), “The Crisis” (1979), “The New Music” (1979)). Compare the following opening of “The New Music” (1979):

- What did you do today?
- Went to the grocery store and Xeroxed a box of English muffins, two pounds of ground veal and an apple. In flagrant violation of the Copyright Act.
- You had your nap, I remember that –
- I had my nap.
- Lunch, I remember that, there was lunch, slept with Susie after lunch, then your nap, woke up, right?, went Xeroxing, right?, read a book not a whole book but part of a book –

³³ In all the quotations in this chapter the evaluator(s) will be underlined, and the evaluation markers will be written in **bold**.

³⁴ *Tommelise* seilede forbi saa mange Stæder, og de smaa Fugle sad i Buskene, saae hende og sang “hvilken nydelig lille Jomfrue!” (Andersen 1963 (1835b): 55)

³⁵ men Muldvarpen stødte til den med sine korte Been og sagde: “Nu piber den ikke meer! det maa være ynkeligt at blive født til en lille Fugl! Gud skee Lov, at ingen af mine Børn blive det; saadan en Fugl har jo ingen Ting uden sit Quivit og maa sulte ihjel til Vinteren!” (Andersen 1963 (1835b): 58)

³⁶ “Maaskee var det den, som sang saa smukt for mig i Sommer,” tænkte hun, “hvor den skaffede mig megen Glæde, den kjære, smukke Fugl!” (Andersen 1963 (1835b): 58)

- Talked to Happy on the telephone saw the seven o'clock news did not wash the dishes want to clean up some of this mess? (336)

In this opening we find no beginning in the traditional Aristotelian sense. The reader is pushed into an unknown world without any information about the 'where', 'when' and 'who', since the level of narration has been reduced to a minimum. The American reviewer Stanley Trachtenberg (1990) has considered the impact of the omission of such basic information in Barthelme's writings:

The omission of plot or character, even of normative dimensions of time or space in Barthelme's fiction yields a series of experimental encounters between language and reality which displaces the tension of conventional structure (Trachtenberg (1990): 24)

Here Trachtenberg touches upon a very interesting point concerning the relation between form and content: an omission of basic information about time, place and person eventually triggers an effect in the presentation of reality. One only needs to read a few stories written by Barthelme in order to understand what Trachtenberg refers to. In an interview where Barthelme is being confronted with this use of dialogue he explains: "I don't have to get people in and out of doors", "I don't have to describe them. I don't have to put them in a landscape. I just deal with their voices" (Barns, Jo 1982: 134). Hence this form – what I have referred to as character discourse – enables a focus on the story level rather than the level of narration. This point is elaborated in the short story "The Explanation" (Barthelme 1989):

Q: Are you bored with the question-and-answer form?

A: I am bored with it but I realize that it permits many valuable omissions: what kind of day it is, what I'm wearing, what I'm thinking. That is a very considerable advantage, I would say (1989 (1987): 39)

This meta-fictional comment substantiates the function of the authorial form; the reduction of the narrative level becomes an omission of certain basic information which otherwise would have been provided through authorial narration.

Direct discourse has traditionally been considered pure mimesis since it involves no elements of narration (Genette (1980), Chatman (1978)). Banfield claims that direct discourse "must be considered as a word for word reproduction" (Banfield 1973: 9) of the character's speech, and Ryan

states that “with direct discourse[...]the speaker guarantees an accurate reproduction of the utterance act” (Ryan (1981)). A similar statement can already be found at the beginning of the twentieth century, when Charles Bally claims that direct discourse offers “a phonographic reproduction of the thoughts and words” and that “The fundamental characteristic shared by the three styles is that the narrator *objectively* reproduces that which is enunciated in the words or thoughts, without adding anything himself” (1914: 422, 407 (quoted and translated in Sternberg 1982: 125)). According to Sternberg, these statements are examples of what he has called the ‘direct discourse fallacy’ (Sternberg 1982: 23). Sternberg draws our attention to cases where direct discourse has been manipulated by anti-mimetic elements like omissions marked by expressions such as ‘so-and-so’, ‘what’s-his-name’ or ‘something or other’ (for a full list of anti-mimetic effects see Fludernik 1993: 414). In *Talking Voices* (1989) Tannen claims that

. . . the term ‘reported speech’ is a misnomer, an abstraction with no basis in the reality of interaction. When speakers cast the words of others in dialogue, they are not reporting so much as constructing dialogue (Tannen 1989: 133)

Although narrative telling within showing only appears in a minority of texts, it reminds us that literature only comes into existence by virtue of the text. There exists no corresponding world outside the fictive world. However, when there are no indications of anti-mimetic elements, the reader considers direct discourse as a “reproduction” of a character’s utterance, by convention. The level of narration is only situated in direct discourse in exceptional cases, as opposed to the following situation:

The little fishes, who swam about in the water beneath, had seen the toad, and heard what she said, so they lifted their heads above the water to look at the little maiden. As soon as they caught sight of her, they saw she was **very pretty**, and it made them very **sorry** to think that she must go and live with **the ugly toads** (Andersen 1984 (1835b): 7)³⁷

Here the story level is depicted from the level of narration without being subject to any external interpretations: the values expressed on the story level are presented from the level of narration but the language and point of view belong to the characters. A construction like this, where an

³⁷ De smaa Fiske, som svømmede nede i Vandet, havde nok seet Skruptudsen og hørt hvad hun sagde, derfor stak de Hovederne op, de vilde dog see den lille Pige. Saa snart de fik hende at see, fandt de hende saa nydelig, og det gjorde dem saa ondt, at hun skulde ned til den stygge Skruptudse (Andersen 1963 (1835b): 55)

evaluation marker emerges from a third person, will be referred to as ‘character narration’. This was the form of narration we depicted in the deixis model in Chapter 4 (p.54). Character narration is established through indirect discourse, free indirect discourse or narrated speech, where the evaluation only can be ascribed the character. These enunciations are not always clear-cut. As has been pointed out both by philosophers and in speech act theory, indirect discourse is not always a direct representation of a speaker’s utterance. In *Fiction, Quotation and Performative Analysis* (1981) Ryan states that, in contrast to direct speech, in indirect discourse the subject of utterance is allowed to choose his/her own formulations and vocabulary since the main task is to represent an illocutionary and a propositional act (Ryan 1981: 133). A sentence like ‘He said, “Meet me outside”’ may for example be reported as ‘He told me to meet him outside’ or ‘He threatened to beat me up’, depending on the subject of utterance’s interpretation of the illocutionary act. The character’s utterances or thoughts are thus reported with more or less fidelity, as Prince (2003 (1987): 43) points out.

The speaker may also choose to colour the paraphrase of the reported speech by his or her own ideology or point of view through different choices of lexical and syntactic constructions. In his tripartite distinction between narrated, reported and transposed speech Genette describes the latter as follows:

Although a little more mimetic than narrated speech, and in principle capable of exhaustiveness, this form never gives the reader any guarantee – or above all any feeling – of literal fidelity to the words “really” uttered: the narrator’s presence is still too perceptible in the very syntax of the sentence for the speech to impose itself with the documentary autonomy of a quotation. It is, so to speak, acknowledged in advance that the narrator is not satisfied with transposing the words into subordinate clauses, but that he condenses them, integrates them into his own speech, and thus *expresses* them in his own style... (Genette 1983: 172)

There seems to be general agreement that in indirect speech the subject of utterance is not bound to “reproduce” the lexical or syntactic substance of character speech. This means that indirect discourse often becomes a mixture of voices, some emerging from the level of narration and others emerging from story level. This also means that indirect discourse may involve two different evaluators, as in:

Harry still insisted that his father, the horrible killer-machine, was nice and innocent

Here the evaluation markers ‘nice and innocent’ emerge from Harry, whereas ‘the horrible killer-machine’ must be ascribed an evaluator on the level of narration. The conflicting evaluation markers create a sentence where two different forms of narration and discourse are represented. The evaluation markers are not always as easily distinguished as in the example above:

Harry said that his stupid brother is coming to town

In this sentence (quoted from Fludernik 1993: 33) the source of the evaluation ‘stupid’ is ambiguous; it is unclear whether it is Harry who evaluates his brother as stupid or the subject of utterance, or both of them. The context can therefore be a decisive factor when deciding on the source of the evaluation.

A combination of character discourse and discourse emerging from the level of narration in third person narration may also lead to free indirect discourse. This form of discourse does not involve an inquit but only features of a character’s enunciation. In traditional narrative theory free indirect discourse is said to involve a mixture of two voices, namely the voice of a character and the voice of the narrator. This hypothesis is referred to as the ‘dual voice hypothesis’ (Pascal (1977)) – a situation I will return to in the next chapter.

So far we have identified two situations where evaluation may be constructed: through character discourse or character narration. We will now turn to a third situation. In heterodiegetic narrative texts evaluation markers in narrated speech are sometimes left completely unattached to a subject. As already touched upon, this third situation has not been accounted for in appraisal theory, due to the simple fact that appraisal only has been applied to non-literary texts. Consider the following epithets in “Little Tiny”:

Then she swam out with her ugly son to the leaf on which she had placed poor little Tiny (Andersen 1984 (1835b): 7)³⁸

During the whole summer poor little Tiny lived quite alone in the wide forest (Andersen 1984 (1835b): 8)³⁹

³⁸ Den gamle Skruptudse [...]svømmede saa med den stygge Søn ud til Bladet, hvor *Tommelise* stod (Andersen 1963 (1835b): 55)

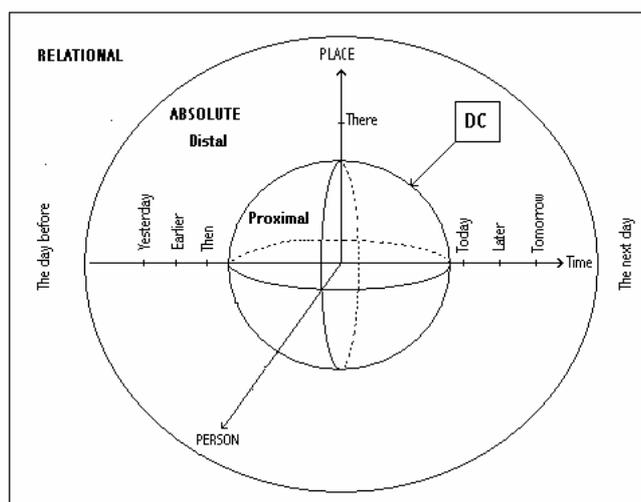
³⁹ Hele Sommeren igjennem levede den stakkels *Tommelise* ganske alene i den store Skov (Andersen 1963 (1835b): 55)

She felt dreadfully cold, for her clothes were torn, and she was herself so frail and delicate, that poor little Tiny was nearly frozen to death (Andersen 1984 (1835b): 8)⁴⁰

Poor little Tiny stood before the door just like a little beggar-girl, and begged for a small piece of barley-corn, for she had been without a morsel to eat for two days (Andersen 1984 (1835b): 8)⁴¹

The poor child was very unhappy at the thought of saying farewell to the beautiful sun (Andersen 1984 (1835b): 11)⁴²

These epithets are left unattached to a character in the text, and they cannot be considered character evaluation because of the third person form; there is no I-Origo to hold responsible for these evaluations⁴³. The I-Origo is thus empty:



We can therefore only conclude that there is a feeling in the narrative which is left unattached to an I-Origo – a feeling evoked by the evaluation markers on the level of narration. The question to answer then is not ‘who evaluates?’ but rather ‘how is a certain element evaluated?’. This third situation will be referred to as ‘authorial narration’. This situation may also be identified in other constructions. See for example the following sentence:

⁴⁰ hendes Klæder vare itu og hun var selv saa fiin og lille, den stakkels *Tommelise*, hun maatte fryse ihjel (Andersen 1963 (1835b): 56)

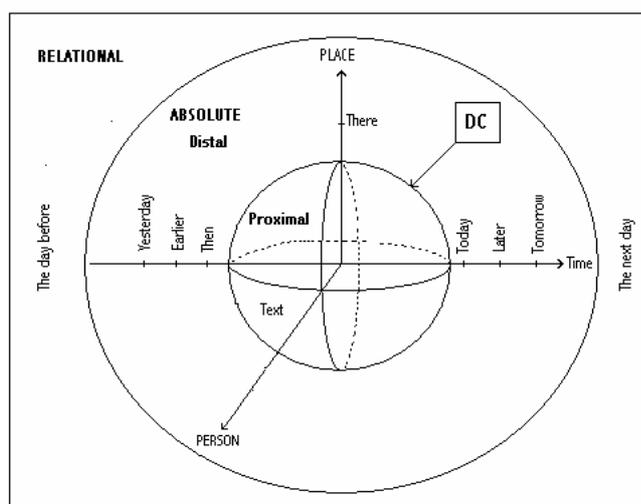
⁴¹ Den stakkels *Tommelise* stillede sig indenfor Døren, ligesom en anden fattig Tiggerpige og bad om et lille Stykke af Bygkorn, for hun havde i to Dage ikke faaet det mindste at spise (Andersen 1963 (1835b): 57)

⁴² Det stakkels Barn var saa bedrøvet, hun skulde nu sige den smukke Sol farvel (Andersen 1963 (1835b): 61)

⁴³ Banfield (1982) refers to this situation as the ‘empty deictic centre’

“You poor little creature,” said the field-mouse, who was really a good old field-mouse (Andersen 1984 (1835b): 8)⁴⁴

What we have here in this example is a special kind of evaluation independent of an evaluator. Such evaluator-less evaluations are of particular interest in literary analysis since they reflect and construct the value of the text. These evaluations are of vital importance when examining sympathy structure. In traditional narrative theory these values are often ascribed the implied author. As already touched upon, this participant only belongs to the communicative level, and is therefore irretrievable from a linguistic level. It is the reader who constructs the implied author not the text itself. On the linguistic level the evaluation can be ascribed the text. Thus rather than having an empty deictic centre, we can insert the text in the I-Origo:



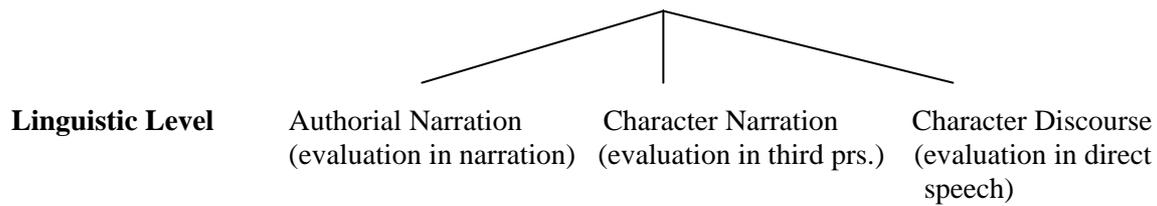
It is thus the ideology of the text which controls the evaluation markers, and it is also at the same time the evaluation markers which control or establish the ideology of the text. This reciprocal relation generates the subjective worldview of the text.

So far we have identified three different ways in which evaluation may be realized in heterodiegetic narration:

Communicative level

Heterodiegetic Narration

⁴⁴ “Din lille Stakkel!” sagde Markmusen, for det var i grunden en god gammel Markmus (Andersen 1963 (1835b): 57)



In “Little Tiny” all three situations can be found. The ‘poorness’ of Tiny is, for example, not only evoked on the level of narration, but is also expressed on the story level through character discourse:

“You poor little creature,” said the field-mouse (Andersen 1984 (1835b): 8)⁴⁵

“You are going to be married, Tiny,” said the field-mouse. “My neighbor has asked for you. What good fortune for a poor child like you. Now we will prepare your wedding clothes” (Andersen 1984 (1835b): 10)⁴⁶

The correspondence between the evaluation on the two levels almost seems to dissolve the boundary between the levels since the level of narration only functions as a reflection of the values established on story level. Thus the level of narration constitutes no value system of its own but assumes the worldview enacted on story level.

In “Little Tiny” the level of narration and story are not only congruent in their evaluations but they also correspond in their omission of evaluation. In the opening of the fairytale we meet a woman who wishes for a baby. The fairy grants the wish, and the woman moves from a position of unhappiness to happiness. Only a short time later, the woman loses the baby, and thus presumably moves from the state of happiness to a state of unhappiness. If we consider the emotional impact this situation must have had on the woman, it is remarkable that there are no affectual markers emerging from the woman when she experiences this loss. We do not even get access to the woman’s reaction. As soon as Tiny is “born” we hear no more of the woman:

⁴⁵ “Din lille Stakkel!” sagde Markmusen, for det var igrunden en god gammel Markmuus (Andersen 1963 (1835b): 57)

⁴⁶ “Nu skal Du i Sommer sye paa dit Udstyr!” sagde Markmusen til hende, for nu havde Naboen, den kjedelige Muldvarp i den sorte Fløielsepels, friet til hende. “Du skal have baade Uldent og Linned! (Andersen 1963 (1835b): 60)

There was once a woman who wished very much to have a little child, but she could not obtain her wish. At last she went to a fairy, and said, "I should so very much like to have a little child; can you tell me where I can find one?"

"Oh, that can be easily managed," said the fairy. "Here is a barleycorn of a different kind to those which grow in the farmer's fields, and which the chickens eat; put it into a flower-pot, and see what will happen."

"Thank you," said the woman, and she gave the fairy twelve shillings, which was the price of the barleycorn. Then she went home and planted it, and immediately there grew up a large handsome flower, something like a tulip in appearance, but with its leaves tightly closed as if it were still a bud. "It is a beautiful flower," said the woman, and she kissed the red and golden-colored leaves, and while she did so the flower opened, and she could see that it was a real tulip. Within the flower, upon the green velvet stamens, sat a very delicate and graceful little maiden. She was scarcely half as long as a thumb, and they gave her the name of "Thumbelina," or Tiny, because she was so small. A walnut-shell, elegantly polished, served her for a cradle; her bed was formed of blue violet-leaves, with a rose-leaf for a counterpane. Here she slept at night, but during the day she amused herself on a table, where the woman had placed a plateful of water. Round this plate were wreaths of flowers with their stems in the water, and upon it floated a large tulip-leaf, which served Tiny for a boat. Here the little maiden sat and rowed herself from side to side, with two oars made of white horse-hair. It really was a very pretty sight. Tiny could, also, sing so softly and sweetly that nothing like her singing had ever before been heard. One night, while she lay in her pretty bed, a large, ugly, wet toad crept through a broken pane of glass in the window, and leaped right upon the table where Tiny lay sleeping under her rose-leaf quilt. "What a pretty little wife this would make for my son," said the toad, and she took up the walnut-shell in which little Tiny lay asleep, and jumped through the window with it into the garden (Andersen 1984 (1835b): 6)⁴⁷

The woman's feelings – her wish for a child – is only expressed when Tiny is entering the story through the amplification 'very much', the evaluation 'beautiful' and her act of kissing the flower.

In *A Theory of Narrative* (1984) Stanzel remarks:

⁴⁷ Der var engang en Kone, som saa gjerne vilde have sig et lille bitte Barn, men hun vidste slet ikke, hvor hun skulde faae et fra; saa gik hun hen til en gammel Hex og sagde til hende: "Jeg vilde saa inderlig gjerne have et lille Barn, vil Du ikke sige mig, hvor jeg dog skal faae et fra?"

"Jo, det skal vi nok komme ud af!" sagde Hexen. "Der har Du et Bygkorn, det er slet ikke af den Slags, som groer paa Bondemandens Mark, eller som Hønsene faae at spise, læg det i en Urtepotte, saa skal Du faae noget at see!"

"Tak skal Du have!" sagde Konen og gav Hexen tolv Skilling, gik saa hjem, plantede Bygkornet, og strax voxte der en deilig stor Blomst op, den saae ganske ud, som en Tulipan, men Bladene lukkede sig tæt sammen, ligesom om den endnu var i Knop.

"Det er en nydelig Blomst!" sagde Konen, og kyssede den paa de smukke røde og gule Blade, men lige i det hun kyssede, gav Blomsten et stort Knald, og aabnede sig. Det var en virkelig Tulipan, kunde man nu see, men midt inde i Blomsten, paa den grønne Stol, sad der en lille bitte Pige, saa fiin og nydelig, hun var ikke uden en Tomme lang, og derfor kaldtes hun *Tommelise*.

En nydelig lakeret Valdnødskal fik hun til Vugge, blaa Violblade vare hendes Matrasser og et Rosenblad hendes Overdyne; der sov hun om Natten, men om Dagen legede hun paa Bordet, hvor Konen havde sat en Tallerken, som hun havde lagt en heel Krands om med Blomster, der stak deres Stilke ned i Vandet; her flød et stort Tulipanblad, og paa dette maatte *Tommelise* sidde og seile fra den ene Side af Tallerkenen til den anden; hun havde to hvide Hestehaar at roe med. Det saae just deiligt ud. Hun kunde ogsaa synge, o saa fint og nydeligt, som man aldrig her har hørt. – En Nat, som hun laae i sin smukke Seng, kom der en hæsleg Skruptudse hoppende ind af Vinduet; der var en Rude itu. Skruptudsen var saa styg, stor og vaad, den hoppede lige ned paa Bordet, hvor *Tommelise* laae og sov under det røde Rosenblad. "Det var en deilig Kone til min Søn!" sagde Skruptudsen, og saa tog hun fat i Valdnødskallen, hvor *Tommelise* sov, og hoppede bort med hende gennem Ruden, ned i Haven (Andersen 1963 (1835b): 53-4)

Presentation of consciousness and inside view are effective means of controlling the reader's sympathy, because they can influence the reader in favour of a character in the story. The more a reader learns about the innermost motives for the behaviour of a character, the more inclined he tends to feel understanding, forbearance, tolerance, and so on, in respect to the conduct of this character (127-8)

Since the reader gets no access to the woman's feelings when losing Tiny, there is no sympathy established towards her as a character. Her feelings are thus of no importance on either levels. The swallow experiences a similar loss, but here the feelings are expressed explicitly in the text through psycho-narration causing character narration:

there was much rejoicing, and the little swallow who sat above them, in his nest, was asked to sing a wedding song, which he did as well as he could; but in his heart he felt sad for he was very **fond of** Tiny, and would have liked never to part from her again (Andersen 1984 (1835b): 12)⁴⁸

Owing to the fact that the reader gets access to the feelings of the swallow, the reader sympathizes with the bird. This is substantiated by the use of the epithets listed above (i.e. the poor swallow). Consequently, the use of evaluation markers on the level of narration makes the swallow more involved in the story and underpins its function as a central figure in contrast to the woman. It should be noted that the evaluation employed in this sentence is embedded in the verbs 'felt' and 'fond'. If we turn to the standard theory of SFL we find a more distinct description of the function of such verbs. In the system of 'transitivity' the verbs are distinguished according to their semantic contents. The verbs can be categorized according to the following six process types: 'material', 'mental', 'verbal', 'behavioural', 'existential' or 'relational':

Material:	Diana <u>gave</u> some blood
Mental:	Diana <u>thought</u> she should give blood
Verbal:	Diana <u>said</u> that giving blood is easy
Behavioural:	Diana <u>dreamt</u> of giving blood
Existential:	<u>There is</u> a reward for giving blood
Relational:	Diana <u>is</u> a blood donor (Eggins 1996 (1994): 228-9)

⁴⁸ der var saadan en Glæde og den lille Svale sad oppe i sin Rede og sang for dem, saa godt den kunde, men i Hjertet var den dog bedrøvet, for den holdt saa meget af *Tommelise* og vilde aldrig have været skilt fra hende (Andersen 1963 (1835b): 62-3)

The two verbs 'felt' and 'fond' are examples of mental processes. The process types categorize the meaning of the verbs and explain the action or mental state of the subject. Some process types are mostly to be found in certain appraisal categories (mental processes mainly appear in the system of affect) whereas others can be used in all categories. The mental process is characteristic of psychonarration and has an important function in the answering of the question 'who feels?'. The process types can be employed in relation to the forms of narration and discourse introduced previously. Mental, verbal and behavioural processes⁴⁹ all give access to the inner state of the character or their enunciations. These processes thus normally generate character narration, whereas material, existential and relational processes generally speaking are connected with authorial narration.

Sympathy is also established on the level of narration when Tiny moves from a state of unhappiness to happiness. Here the sympathy is not only controlled by the evaluation markers connected to her as a character. The way the antagonists are evaluated is just as important in order to examine how the reader is made to sympathize with Tiny rather than with some of the other characters. This is most obvious in the epithets on the level of narration:

But Tiny was not at all pleased; for she did not like the tiresome mole (Andersen 1984 (1835b): 10)⁵⁰

Then Tiny wept, and said she would not marry the disagreeable mole (Andersen 1984 (1835b): 10)⁵¹

As soon as he spied Tiny, he was delighted; and then she told him how unwilling she felt to marry the ugly mole (Andersen 1984 (1835b): 11)⁵²

One night, while she lay in her pretty bed, a large, ugly, wet toad crept through a broken pane of glass in the window, and leaped right upon the table where Tiny lay sleeping under her rose-leaf quilt (appreciation) (Andersen 1984 (1835b): 6)⁵³

⁴⁹ Behavioural processes only generate character narration when reflecting an inner state, i.e. a psychological behaviour such as 'dreaming' or 'frowning' which demand an access to the feelings of the character. Physiological reactions may also give rise to character narration when functioning as inquirers (for further details see Eggins 1994: 249-251).

⁵⁰ men hun var slet ikke fornøjet, for hun holdt ikke noget af den kjedelige Muldvarp (Andersen 1963 (1835b): 60)

⁵¹ Men *Tommelise* græd og sagde, hun vilde ikke have den kjedelige Muldvarp (Andersen 1963 (1835b): 60)

⁵² Saasnt den saae *Tommelise*, blev den saa fornøjet; hun fortalte den, hvor nødig hun vilde have den stygge Muldvarp til Mand (Andersen 1963 (1835b): 61)

⁵³ En Nat, som hun laae i sin smukke Seng, kom der en hæsleg Skruptudse hoppende ind af Vinduet; der var en Rude itu. Skruptudsen var saa styg, stor og vaad, den hoppede lige ned paa Bordet, hvor *Tommelise* laae og sov under det røde Rosenblad (Andersen 1963 (1835b): 54)

Then she swam out with her ugly son to the leaf on which she had placed poor little Tiny (Andersen 1984 (1835b): 7)⁵⁴

She could not bear to think of living with the old toad, and having her ugly son for a husband (Andersen 1984 (1835b): 7)⁵⁵

As soon as they caught sight of her, they saw she was very pretty, and it made them very sorry to think that she must go and live with the ugly toads (Andersen 1984 (1835b): 7)⁵⁶

Whether the evaluation emerges from the level of narration or story in the indirect speech situations is not important since there is correspondence between the evaluation markers on both levels. The examination of the epithets reveals that there is a sharp and explicit distinction between the good and bad characters on the level of narration as well as on the story level.

5.4.1 Implicit and Explicit Evaluation

Up till now, the evaluation of appraisal has been expressed by explicit markers. However, some attitudinal lexis are neutral in some texts but perform an evaluative function in others. See, for example, the following extract from “Little Tiny”:

“Cold winter is coming,” said the swallow, “and I am going to fly away into warmer countries. Will you go with me? You can sit on my back, and fasten yourself on with your sash. Then we can fly away from the ugly mole and his gloomy rooms,—far away, over the mountains, into warmer countries, where the sun shines more brightly—than here; where it is always summer, and the flowers bloom in greater beauty. Fly now with me, dear little Tiny; you saved my life when I lay frozen in that dark passage.” (Andersen 1984 (1835b): 11)⁵⁷

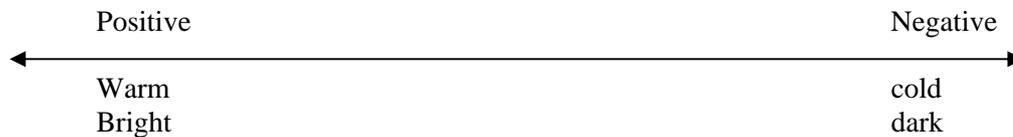
⁵⁴ Den gamle Skrubtudse[...]svømmede saa med den stygge Søn ud til Bladet, hvor *Tommelise* stod (Andersen 1963 (1835b): 55)

⁵⁵ hun vilde ikke boe hos den fæle Skrubtudse eller have hendes hæslige Søn til sin Mand (Andersen 1963 (1835b): 55)

⁵⁶ Saa snart de fik hende at see, fandt de hende saa nydelig, og det gjorde dem saa ondt, at hun skulde ned til den stygge Skrubtudse (Andersen 1963 (1835b): 55)

⁵⁷ “Nu kommer den kolde Vinter,” sagde den lille Svale, “jeg flyver langt bort til de varme Lande, vil Du følge med mig? Du kan sidde paa min Ryg! bind Dig kun fast med dit Livbaand, saa flyve vi bort fra den stygge Muldvarp og hans mørke Stue, langt bort over Bjergene til de varme Lande, hvor Solen skinner smukkere end her, hvor der altid er Sommer og deilige Blomster. Flyv kun med mig, Du søde lille *Tommelise*, som har reddet mit Liv, da jeg laae forfrossen i den mørke Jordkjelder!” (Andersen 1963 (1835b): 61)

In this paragraph the adjectives warm/cold and bright/dark are antonyms, creating positive and negative associations accordingly:



The ‘cold winter’ is in opposition to the ‘warmer countries’, and ‘the gloomy rooms’ can be contrasted to the brightness of the sun. These binary oppositions – if we use the terminology of Greimas – are also established on the level of narration in narrated speech through subject-less evaluations:

and then came the winter,— the long, cold winter (Andersen 1984 (1835b): 8)⁵⁸

Tiny was nearly frozen to death. It began to snow too; and the snow-flakes, as they fell upon her, were like a whole shovelful falling upon one of us, for we are tall, but she was only an inch high. Then she wrapped herself up in a dry leaf, but it cracked in the middle and could not keep her warm, and she shivered with cold. (Andersen 1984 (1835b): 8)⁵⁹

the poor bird had evidently died of the cold (Andersen 1984 (1835b): 9)⁶⁰

The connection between warmth/life and cold/death is plain on both levels. It is not, however, all characters who share this set of values. For the mole the opposite paradigm prevails; darkness and winter are positive markers, whereas summer and light are negative values:

Every evening the mole visited her, and was continually speaking of the time when the summer would be over. Then he would keep his wedding-day with Tiny; but now the heat of the sun was so great that it burned the earth, and made it quite hard, like a stone. As soon as the summer was over, the wedding should take place. But Tiny was not at all pleased; for she did not like the tiresome mole. Every morning when the **sun** rose, and every evening when it went down, she

⁵⁸ nu kom Vinteren, den kolde, lange Vinter (Andersen 1963 (1835b): 56)

⁵⁹ hun frøs saa forskrækkeligt, for hendes Klæder vare itu og hun var selv saa fiin og lille, den stakkels *Tommelise*, hun maatte fryse ihjel. Det begyndte at snee og hver Sneefnug, der faldt paa hende, var, som naar man kaster en heel Skuffe fuld paa os, thi vi ere store og hun var kun en Tomme lang. Saa svøbte hun sig ind i et vissent Blad, men det vilde ikke varme, hun rystede af Kulde (Andersen 1963 (1835b): 56)

⁶⁰ den stakkels Fugl var bestemt død af Kulde (Andersen 1963 (1835b): 58)

would creep out at the door, and as the wind blew aside the ears of corn, so that she could see the blue sky, she thought how beautiful and bright it seemed out there, and wished so much to see her dear swallow again (Andersen 1984 (1835b): 10)⁶¹

In this passage the character narration changes perspective as it shifts from the mole (“but now the heat of the sun was so great that it burned the earth, and made it quite hard, like a stone”) to Tiny (“she thought how beautiful and bright it seemed”). The inverted paradigm constructed in character narration underpins the mole’s role as antagonist in the text since the mole is the only character who holds these values. The good and bad characters are furthermore separated through the opposition between big and small. Tiny is only the size of a thumb and is therefore repeatedly referred to as ‘little’, whereas the cockchafer was described as ‘large’ and the toad was ‘large, ugly, wet’. The positive connotations of Tiny as ‘little’ is enacted on both levels:

Authorial Narration

- ‘Little Tiny’ (the title)
- Within the flower, upon the green velvet stamens, sat a very delicate and graceful little maiden (Andersen 1984 (1835b): 6)⁶²
- He was uglier even than his mother, and when he saw the pretty little maiden in her elegant bed, he could only cry, “Croak, croak, croak.” (Andersen 1984 (1835b): 7)⁶³
- The largest of these leaves appeared farther off than the rest, and the old toad swam out to it with the walnut-shell, in which little Tiny lay still asleep. The tiny little creature woke very early in the morning, and began to cry bitterly when she found where she was, for she could see nothing but water on every side of the large green leaf, and no way of reaching the land (Andersen 1984 (1835b): 7)⁶⁴

Character discourse

⁶¹ Hver Aften gjorde Muldvarpen Visit og snakkede da altid om, at naar Sommeren fik Ende, saa skinnede Solen ikke nær saa varmt, den brændte jo nu Jorden fast, som en Steen; ja naar Sommeren var ude, saa skulde Brylluppet staae med *Tommelise*; men hun var slet ikke fornøiet, for hun holdt ikke noget af den kjedelige Muldvarp. Hver Morgen, naar Solen stod op, og hver Aften, naar den gik ned, listede hun sig ud i Døren og naar saa Vinden skilte Toppene af Kornet ad, saa at hun kunde see den blaa Himmel, tænkte hun paa, hvor lyst og smukt der var herude, og ønskede saameget, at hun igjen maatte faae den kjære Svale at see (Andersen 1963 (1835b): 60)

⁶² men midt inde i Blomsten, paa den grønne Støl, sad der en lille bitte Pige, saa fiin og nydelig (Andersen 1963 (1835b): 53)

⁶³ han var ogsaa styg og fæl, lignede ganske sin Moder: “koax, koax, brekke-ke-kex!” det var alt hvad han kunde sige, da han saae den nydelige lille Pige i Valdnødskallen (Andersen 1963 (1835b): 54)

⁶⁴ det Blad, som var længst ude, var ogsaa det allerstørste; der svømmede den gamle Skruptudse ud og satte Valdnødskallen med *Tommelise*. Den lillebitte Stakkel vaagnede ganske tidlig om Morgenen, og da hun saae, hvor hun var, begyndte hun saa bitterligt at græde, for der var Vand paa alle Sider af det store grønne Blad, hun kunde slet ikke komme i Land (Andersen 1963 (1835b): 54)

- “What a pretty little wife this would make for my son,” said the toad (Andersen 1984 (1835b): 6)⁶⁵
- Tiny sailed past many towns, and the little birds in the bushes saw her, and sang, “What a lovely little creature (Andersen 1984 (1835b): 7)⁶⁶
- “You poor little creature,” said the field-mouse (Andersen 1984 (1835b): 8)⁶⁷
- “Thank you, pretty little maiden,” said the sick swallow (Andersen 1984 (1835b): 9)⁶⁸
- “Farewell, then, farewell, you good, pretty little maiden,” said the swallow (Andersen 1984 (1835b): 12)⁶⁹

Character narration

- The little prince was at first quite frightened at the bird, who was like a giant, compared to such a delicate little creature as himself; but when he saw Tiny, he was delighted, and thought her the prettiest little maiden he had ever seen (Andersen 1984 (1835b): 12)⁷⁰

The butterfly, bird, and prince are similarly described as small on both levels (‘a graceful little white butterfly’, ‘the little swallow’, ‘the little prince’, ‘a tiny little man’). The negative/positive paradigm can be extended as follows:



It should be noted that the marker ‘large’ only indicates negative connotations when connected to a character. When used to describe elements from nature, the marker serves to draw attention to the small size of Tiny.

⁶⁵ Det var en deilig Kone til min Søn!” sagde Skruptudsen (Andersen 1963 (1835b): 54)

⁶⁶ *Tommelise* seilede forbi saa mange Stæder, og de smaa Fugle sad i Buskene, saae hende og sang “hvilken nydelig lille Jomfrue!” (Andersen 1963 (1835b): 55)

⁶⁷ “Din lille Stakkel!” sagde Markmusen (Andersen 1963 (1835b): 57)

⁶⁸ “Tak skal Du have, Du nydelige lille Barn!” sagde den syge Svale (Andersen 1963 (1835b): 59)

⁶⁹ “Farvel, farvel! Du gode nydelige Pige!” sagde Svalen (Andersen 1963 (1835b): 60)

⁷⁰ Den lille Prinds blev saa forskrækket for Svalen, thi den var jo en heel Kjæmpefugl imod ham, der var saa lille og fiin, men da han saae *Tommelise*, blev han saa glad, hun var den allersukkeste Pige, han endnu havde seet (Andersen 1963 (1835b): 62)

The three different paradigms presented above (dark/cold/large and bright/warm/small) may lead to an overall interpretation of the fairytale. If we consider the story of “Little Tiny” in relation to the paradigm examined above, we realize that Tiny only finds satisfaction when she finds a character who shares her set of values: the prince is small and likes the heat of the sun – in contrast to the cockchafer and the mole, who treasure the cold and darkness. This could indicate that the moral of the story is that ‘One should stick to one’s own class’.

Not all evaluation markers are as explicit as those identified in “Little Tiny”. If we turn to ”The Gardener and the Noble Family”(Andersen (1872)) we see that sympathy is not as clearly dictated as in “Little Tiny”. In the few epithets present there are no affectual evaluations. Most nouns stand alone like the following noun phrases:

The gardener spoke to the noble family about cutting down the old trees; they did not look well, and by taking them away they might also get rid of the shrieking birds, which then would probably look for another place (Andersen 1984 (1872): 513)⁷¹

The gardener knew the fruit dealer well, because he was the very person to whom he sold the superfluous fruit that grew in the manor garden (Andersen 1984 (1872): 513)⁷²

Some time passed. The family were dinner guests at court. The next day they sent for the gardener (Andersen 1984 (1872): 514)⁷³

When affectual evaluation markers are used, they are explicitly connected to an evaluator on the story level, either in connection with direct speech through character discourse:

“Well, then, I really can feel **proud!**,” said the gardener (Andersen 1984 (1872): 514)⁷⁴

“Anything that Larsen does,” said the noble family, “they beat the drum for. He is a lucky man. We should be **proud** to have him!” (Andersen 1984 (1872): 516)⁷⁵

⁷¹ Gartneren talte tidt til sit Herskab om at lade fælde de gamle Træer, de saae ikke godt ud, og kom de bort blev man rimeligviis fri for de skrigende Fugle, de vilde søge andetsteds hen (Andersen 1967 (1872): 171)

⁷² Gartneren kjendte godt Frugthandleren, det var netop til ham, han paa Herskabets Vegne solgte den Overflødighed af Frugt, der groede i Herregaardshaven (Andersen 1967 (1872): 171)

⁷³ Nogen Tid gik; Herskabet spiste en Middag ved Hoffet. Dagen derpaa blev Gartneren kaldet til sit Herskab (Andersen 1967 (1872): 172)

⁷⁴ "Ja, saa kan jeg være stolt!" sagde Gartneren (Andersen 1967 (1872): 172)

⁷⁵ "Alt hvad den Larsen gjør," sagde Herskabet, "slaaer man paa Tromme for. Det er en lykkelig Mand! vi maae jo næsten være stolte af at vi have ham!" (Andersen 1967 (1872): 175)

...or through an explicit evaluator (i.e. character narration):

all the other guests had expressed their **admiration** (Andersen 1984 (1872): 513)⁷⁶

How **happy** the gardener **felt!** (Andersen 1984 (1872): 513)⁷⁷

If we turn to the judgement markers the narrative situation is somewhat different. Consider the following paragraph:

Yes, those he had, and he cared for them; he kept them in order and cultivated them **with affection and ability**, and that the noble family knew; but they did not conceal from him that they often saw flowers and tasted fruit in other people's homes that surpassed what he had in his garden, and that made the gardener sad, for he always wished **to do his best** and really **did his best**. He was **good-hearted and a good and faithful worker** (Andersen 1984 (1872): 513)⁷⁸

The owner of the house also had a **very skilful** gardener (Andersen 1984 (1872): 512)⁷⁹

"Then that man knows **how to bring the fruit to a higher perfection!**" (Andersen 1984 (1872): 514)⁸⁰

one of the best gardeners in the country (Andersen 1984 (1872): 514)⁸¹

Here the evaluation of the gardener written in bold does not seem to emerge from a particular character in the story but from a group of characters, in this case the manor. This narrative situation is not as dominant in "The Gardener and the Noble Family" as it is in "Little Tiny". Here the use of character narration is so frequent that we almost get the impression that the fairytale functions as a first person narrative. As a matter of fact, most of the text can be transformed into first person narration without any difficulty:

⁷⁶ alle Gjester havde udtalt sig i Beundring (Andersen 1967 (1872): 171)

⁷⁷ Naa, hvor blev han glad, Gartneren (Andersen 1967 (1872): 171)

⁷⁸ Dem havde han, dem pleiede, passede og opelskede han med Iver og Dygtighed, og det blev erkjendt af Herskabet, men de dulgte ikke for ham, at de hos Fremmede tidt spiste Frugter og saae Blomster, som overgik hvad de havde i deres Have, og det bedrøvede Gartneren, for han vilde det Bedste og gjorde det Bedste. Han var god i Hjertet, god i Embed (Andersen 1967 (1872): 171)

⁷⁹ Herskabet havde ogsaa en dygtig Gartner (Andersen 1967 (1872): 170)

⁸⁰ "Saa har den Mand vidst at bringe Frugten til en høiere Udvikling!" (Andersen 1967 (1872): 170)

⁸¹ en af Landets bedste Gartnere (Andersen 1967 (1872): 174)

Then she wrapped herself up in a dry leaf, but it cracked in the middle and could not keep her warm, and she shivered with cold. Near the wood in which she had been living lay a corn-field, but the corn had been cut a long time; nothing remained but the bare dry stubble standing up out of the frozen ground. It was to her like struggling through a large wood. Oh! how she shivered with the cold. She came at last to the door of a field-mouse, who had a little den under the corn-stubble (Andersen 1984 (1835b): 8)⁸²

Then I wrapped myself up in a dry leaf, but it cracked in the middle and could not keep me warm, and I shivered with cold. Near the wood in which I had been living lay a corn-field, but the corn had been cut a long time; nothing remained but the bare dry stubble standing up out of the frozen ground. It was to me like struggling through a large wood. Oh! how I shivered with the cold. I came at last to the door of a field-mouse, who had a little den under the corn-stubble

The close relationship between the first and third person example is due to character narration as the evaluation is centred around one character. Another important aspect is the correspondence between evaluation on story level and the level of narration. In character narration the transformation from third person to first person is fairly uncomplicated since there is congruence between the evaluation on the story level and the evaluation on the level of narration. Moreover, the more character narration the text contains, the more personalized it gets.

5.4.2 Evaluation markers

Another important difference between the two fairytales lies in the lexical meaning of the evaluation markers. In the analysis of “Little Tiny” most evaluation markers are markers of affect. It is interesting to note that certain evaluations are employed repeatedly in the text. There is particularly one epithet in “Little Tiny” which recurs, and that is the adjective ‘poor’:

Poor:

- **poor** little Tiny
- that **poor** little Tiny
- you **poor** little creature
- the **poor** bird

⁸² Saa svøbte hun sig ind i et vissent Blad, men det vilde ikke varme, hun rystede af Kulde. Tæt udenfor Skoven, hvor hun nu var kommet, laa en stor Kornmark, men Kornet var forlænge siden borte, kun de nøgne, tørre Stubbe stode op af den frosne Jord. De vare ligesom en heel Skov for hende at gaa imellem, o, hun rystede saadan af Kulde. Saa kom hun til Markmusens Dør. Den var et lille Hul inde under Korn-Stubbene (Andersen 1963 (1835bb): 56-7)

- the **poor** swallow
- a **poor** child
- the **poor** child

The tendency to reuse a particular lexical item is also reflected in the attributes:

Sad:

- It made little Tiny very **sad**
- Tiny felt very **sad**
- but in his heart he felt **sad**

Delight:

- thank you for your **delightful** singing
- As soon as he spied Tiny, he was **delighted**
- That will be **delightful**
- when he saw Tiny, he was **delighted**

The repetition of these words is remarkable and should give rise to some speculation about the semantics of these lexical items. A closer examination shows that the epithet 'poor' and the two attributes 'sad' and 'delighted' all convey the frame of mind of the emotional subject. These three markers can therefore be categorized as 'happiness' or 'unhappiness' which constitutes one out of three members of affect (the remaining two are 'security' and 'satisfaction'). The fact that the greater part of the affectual markers in "Little Tiny" belongs to the category of un/happiness. This indicates that the primary concern of the fairytale is the transition from unhappiness to happiness or the other way around, as is the case with the swallow and the woman who suffers from the loss of Tiny.

The affectual markers are not only reflecting the story line as shown above, but are furthermore establishing either distance or proximity in relation to the reader, as was illustrated in the examination of the opening of the story, where the woman loses Tiny.

In "The Gardener and the Manor" there are only few markers of affect. Of the relative few markers of affect, most of them are judgement markers.

The main parts of the judgement markers connected to the gardener are concerned with his competence. Here are some more examples:

- The manor kept also a very **skillful** gardener

- But then that man understands how to bring the fruit **to a higher perfection**
- one of the **best** gardeners in the country

The competence of the gardener is thus of great importance to the story which underpins the very central employer/employee relation between the gardener and the people of the manor. The relationship can therefore be characterized as being ‘strictly business’ since there are only few evaluations of the gardener’s personal values and that is the judgement of him being ‘faithful’ and ‘good’.

The judgement markers connected with the gardener are all positive except for one and that is the following comment:

We are afraid that the gardener will come to **think too much of himself** (Andersen 1984 (1872): 514)⁸³

It is worth noticing that the negative evaluation marker radiates from the manor. This reflects the Manor’s reservations with the gardener; the people of the manor do not appreciate the gardener. It is only the outcome of his work they appreciate.

In “Little Tiny” we only find a very small number of judgement markers:

- a **good** old field-mouse
- he was **rich and learned**
- it was a **perfect** bird
- but she **took courage**

The fact that there are very few judgement markers indicates that the story is less concerned with wrong or right behaviour of the characters than their emotional states.

In the analyses of affect and judgement we concluded that there are more authorial evaluation in “Little Tiny” than in “The Gardener and the Manor”. This is also reflected in the evaluation of appreciation. In “Little Tiny” appreciation is very explicit, and mostly expressed without a source like the following sentence:

⁸³ "Bare Gartneren ikke faaer for store Ideer om sig selv!" (Andersen 1967 (1872): 173)

He was even **uglier** than his mother, and when he saw the **pretty** little maiden in her **elegant** bed, he could only cry, “Croak, croak, croak.” (Andersen 1984 (1835b): 7)⁸⁴

Here appreciation underpins the contrast between good and bad characters. The sympathy is established through these appreciation markers which are not emanating from a character in the text. This results in a very subjective narration where the administration of the reader is obvious.

We do not find this explicit evaluation of the characters in “The Gardener and the Manor”.

Here appreciation is only applied to the fruits and nature:

- **beautiful** apples and pears
- the gardener at the court did not succeed very well with his melons this year, and so, seeing how **beautiful** ours looked, he tasted them and ordered from me three of them for the castle
- **beautiful** roses

This means that the narrator seen from the communicative level is not evaluating and thereby dictating the aesthetics of the characters but leaves the evaluation to the reader. On the linguistic level we can say that the level of narration descriptive rather than evaluative. This is furthermore pointed out in the ending of the story:

“Yes, that is the story of the gardener and the manor. Now you may think a little about it” (Andersen 1984 (1872): 516)⁸⁵

This ending is in contrast to the ending of Thumbelina where the origin of the story is cleared out:

“Farewell, farewell,” said the swallow, with a heavy heart as he left the warm countries to fly back into Denmark. There he had a nest over the window of a house in which the

⁸⁴ han var ogsaa styg og fæl, lignede ganske sin Moder: “koax, koax, bække-ke-kex!” det var alt hvad han kunde sige, da han saae den nydelige lille Pige i Valdneødskaalen (Andersen 1963 (1835b): 54)

⁸⁵ Ja, det er Historien om "Gartneren og Herskabet". Nu kan Du tænke over den! (Andersen 1967 (1872): 176)

writer of fairy tales dwelt. The swallow sang, "Tweet, tweet," and from his song came the whole story (Andersen 1984 (1835b): 12)⁸⁶

5.5 Preliminary Summary

The most important contribution appraisal theory adds to the study of narrative fiction, is the theoreticalization of the source from which the evaluation emerges. This is of great importance when working with the manifestation of the narrator on the linguistic level. Whether an evaluation marker emerges from a character or not has a great impact on the way in which the ideology of the text is constructed.

The evaluation markers which cannot be traced to a character are of particular interest to the present study. Since the analysis is performed on the linguistic level, the markers cannot be traced to a narrator in the text. We therefore need to introduce a new set of terms. The development of forms of narration and discourse enables a description of whether the evaluation markers are attached to a character or not. This is not, however, the only function of the categorization of forms of narration and discourse. In the forms of narration and discourse the level of narration and story are more or less dominant. In character discourse, the level of narration has been reduced to a zero, whereas authorial narration is established on the level of narration. Character narration can be explained as a combination between the level of narration and story level. Here the story level is mediated through narration. The forms of narration and discourse can be more or less dominant in the text. In some texts the discourse of the characters can be left unmediated through character discourse, whereas other texts provide a great length of authorial narration, serving the reader with circumstantial information. In most texts, all forms of narration and discourse are employed to some extent.

In the texts analyzed so far, the different forms of narration and discourse are easily distinguished and appear rather simple. However, the categories are more complex than what we have seen so far. Moreover, the forms of narration and discourse are not only identifiable through lexical evaluation. This will be illustrated in the following chapter. Here we will also learn that when working with more experiential texts, we find a fourth category which will be referred to as 'conscious narration'.

⁸⁶ "Farvel! farvel" sagde den lille Svale, og fløi igjen bort fra de varme Lande, langt bort tilbage til Danmark; der havde den en lille Rede over Vinduet, hvor Manden boer, som kan fortælle Eventyr, for ham sang den "quivit, quivit!" derfra have vi hele Historien. (Andersen 1963 (1835b): 63)

Chapter 6

Forms of Narration and Discourse

6.1 Character Discourse

The term 'discourse', in what I refer to as 'form of narration and discourse', is more simple than the forms of narration, since it is enacted on the story level and freed from the level of narration. Character discourse is thus the only form of narration and discourse which does not involve the term 'narration'. This form appears to some extent in most texts, but is put to the extreme in Baker's *Vox* (1992) where the level of narration is freed of any kind of evaluation:

"What are you wearing?" he asked.

She said, "I'm wearing a white shirt with little stars, green and black stars, on it, and black pants, and socks the color of the green stars, and a pair of black sneakers I got for nine dollars."

"What are you doing?"

"I'm lying on my bed, which is made. That's an unusual thing. I made my bed this morning. A few months ago my mother gave me a chenille bedspread, exactly the kind we used to have, and I felt bad that it was still folded up unused and this morning I finally made the bed with it" (Baker 1992: 7)

Here the level of narration is only present in the inquirers 'he asked' and 'She said'. Most of the text exists of pure dialogue without any inquirers. These are the situations we refer to as character discourse. Donald Barthelme is even more extreme in his dialogue texts where he consequently avoids the level of narration and only presents the direct speech of the characters:

- Well Maggie I have finally been admitted to the damn Conservatory. Finally.
- Yes Hilda I was astonished when I heard the news, astonished.
- A glorious messenger came riding. Said I was to be admitted. At last.
- Well Hilda I suppose they must have changed the standards or something.
- He was clothed all in silver, and his hat held a pure white plume. He doffed his hat and waved it in the air, and bowed.
- The admissions Committee's been making some pretty strange calls lately, lots of talk about it.
- A Presidential appointment, he said. Direct from the President himself.
- Yes those are for disadvantaged people who would not otherwise be considered. Who would not otherwise be considered in a million years (Barthelme "The Farewell" 1982: 389)

The story continues in this form till the very end. Since there is no narration in the text, it cannot be considered character narration. What we have is rather a text consisting of pure dialogue, a situation I have referred to as character discourse. Another example is Barthelme's "Heroes":

- These guys, you know, if they don't know what's the story how can they...
- Exactly.
- So I inform myself. *U.S. News & World Report. Business Week. Scientific American.* I make it a point to steep myself in information.
- Yes.
- Otherwise your decisions have little meaning.
- Right.
- I mean they have *meaning*, because no decisions are meaningless in and of themselves, but they don't have *informed* meaning.
- Every citizen has a right.
- To what?
- To act. According to his lights.
- That's right (Barthelme 1982: 437)

An interesting question to ask is how the narrator in such texts would be accounted for on the communicative level? The answer would most likely be, that the narrator is visible in the choice of the title and the selection of the parts of the conversations which are included in the narrative. However, this is not a very satisfying account on the linguistic level. Basically, saying that a text is heterodiegetic only indicates that it is not homodiegetic. The term reveals nothing about the form of the text. When approaching the text from the linguistic level, we can apply the forms of narration and discourse and conclude that the text is written in character discourse. This one term reveals the exact form in which the text is written, and the reader will know right away how the text is constructed. Texts purely constructed as character discourse as Barthelme's "Farewell" provide the reader with an immediate access to the story level. There are thus no interventions from the level of narration.

In more traditional texts, the text alternates between the different forms of narration and discourse, leaving only a few paragraphs written in character discourse, as in the following excerpt from Barthelme's "Bishop" which we will return to in the analysis of markedness on the syntactic level:

In the morning he remembers nothing of what had been said the previous night. But, coming into the kitchen and seeing her harsh, set face, he knows there's been a quarrel.

His eyes ache.
He's not fat.
She calls.
"I can't make it."
"I noticed."
"I'm sorry."
"How about tonight?"
"I'll have to see. I'll let you know."
"When?"
"As soon as I can."
"Can you give me a rough idea?"
"Before six."

Bishop types a letter to a university declining a speaking engagement (Barthelme 1982: 445)

Here the form of narration and discourse alternates between authorial narration, character narration and character discourse.

6.2 Character Narration

As has been pointed out several times, when examining narration in heterodiegetic narrative fiction we examine whether the evaluation markers emerge from the story level or the level of narration, i.e. whether the point of view can be traced to a character (as in character narration and character discourse) or the level of narration (as in authorial narration). In character narration the point of view is situated on the story level and the reader is told what a particular character feels or thinks in a specific time or place from the level of narration. On the communicative level the direct access to one or more characters' feelings has traditionally been referred to as being presented by a third person narrator or a heterodiegetic narrator (see Genette (1983)). From a linguistic level, however, it is not possible to locate this 'narrator'. What we have is rather a form of narration or a 'narrative function', as termed by Hamburger, which is characterized by the mediation of the inner state of the characters – what Cohn refers to as psycho-narration (Cohn 1978). I have referred to this narrative function as 'character narration'. As this chapter will show, character narration is the most complicated category, since it involves what has often been referred to as free indirect discourse.

Character narration can be paralleled with Nünning's 'character perspective' which is

...an individual's fictional system of preconditions or subjective worldview – the sum of all the models he or she has constructed of the world, of others, and of herself. A character-perspective is governed by the totality of an individual's knowledge and belief sets, intentions, psychological traits, attitudes, ideological stance, and system of values and norms that have been internalized (2001: 211)

Thus in character narration it is the character's subjective worldview the reader is witnessing, i.e. what a specific character thinks or feels about something. This is what the noun 'character' communicates in the term 'character narration', whereas 'narration' points to the mediation itself, i.e. the way in which the character perspective is presented to the reader. Where 'character' is an element on the story level, 'narration' belongs to the level of narration, as indicated by the word.

The most easily recognized form of character narration is when initiated or concluded by psycho-narration, as we saw in "Little Tiny" (e.g. "but in his heart he **felt** sad"). However, character narration is not always as easily recognized. Compare the following excerpts from "A New England Nun" (Freeman (1891)):

Louisa, all alone by herself that night, wept a little, she hardly knew why; but the next morning, on waking, she felt like a queen who, after fearing lest her domain be wrested away from her, sees it firmly insured in her possession (Mary E. Wilkins Freeman "A New England Nun" (1891): 1559)

Joe's consternation came later. He eyed Louisa with an instant confirmation of his old admiration. She had changed but little. She still kept her pretty manner and soft grace, and was, he considered, every whit as attractive as ever (Ibid: 1555)

In the first excerpt the reader gets access to Louisa's feelings through psycho-narration realized by the mental verb 'felt'. In the second quotation the reader gets access to Joe's feelings as the point of view emerges from him implicitly as well as explicitly. In the last sentence the inquit and mental verb in "he considered" explicates the fact that the evaluation "every whit as attractive as ever" emerges from Joe. This explicitness stands in contrast to the remaining evaluation markers ("changed but little", "pretty manner" and "soft grace") which seem to be left without an evaluator. However, it seems most reasonable to consider Joe as evaluator of these evaluations, since he is the one who 'eyes' Louisa. Thus in both texts, there is one character to hold responsible for the evaluation. I will refer to this situation as 'single character narration'.

The absence of the evaluator in these evaluative statements has an important effect on the level of narration. Despite the fact that we as readers assume that the point of view still emerges from Joe, the absence of the evaluator still seems to trigger authorial narration since it shares the same form. It is only the co-text which indicates that the evaluation can be associated with a character. We can compare this situation with first person narratives where the evaluation as a rule

is ascribed the first person unless otherwise indicated (we will return to this form of narration in Chapter 8).

A similar situation is found in “Little Ida’s Flowers” (Andersen (1835)), where the little girl Ida wonders why her flowers wither. A student tells her that the flowers die because they dance all night, and Ida believes every word of it:

But to little Ida, all these stories which the student told her about the flowers, seemed very droll, and she thought over them a great deal. The flowers did hang their heads, because they had been dancing all night, and were very tired, and most likely they were ill (Andersen 1984 (1835a): 23)⁸⁷

In the first sentence Ida is appointed the role of evaluator (‘But to little Ida...’) and this presence of the evaluator generates character narration. In the second sentence, on the other hand, there is no explicit evaluator present. Since the acceptance of the student’s story corresponds with Ida’s childish perception (and children’s logic in general), we must assume that she is the evaluator. We find the same situation in the following sentence:

So she took the doll out, who looked quite cross, and said not a single word, for she was angry at being turned out of her bed (Andersen 1984 (1835a): 23)⁸⁸

Although Ida functions as evaluator, her absence in this sentence has a decisive effect on what we refer to as ‘the text’s subjective worldview’. As mentioned, this term refers to the set of values established on the level of narration often attributed to the implied author. So far we have mainly been concerned with the subjective worldview of the characters. It is, however, my claim that the text’s subjective worldview is evoked through such evaluator-less statements, a situation often referred to as ‘free indirect thought’. The fact that the evaluator is absent does not change the point of view from which the evaluation markers emerge, but it certainly evokes the impression that the evaluation is shared by the text itself. This has an interesting effect on the story; the reader experiences the world through the fantasy of the child and obtains a childish perception and

⁸⁷ Men den lille *Ida* syntes dog, det var saa morsomt, hvad Studenten fortalte om hendes Blomster, og hun tænkte saa meget derpaa. Blomsterne hang med Hovedet, fordi de vare trætte af at dandse hele Natten, de vare bestemt syge (Andersen (1963) (1835a): 45)

⁸⁸ saa tog hun Dukken op, men den saae saa tvær ud og sagde ikke et eneste Ord, for den var vred, fordi den ikke maatte beholde sin Seng (Andersen (1963) (1835a): 46)

understanding of the actions. An insertion of inquit would have created a distance to this childish perception:

So she took the doll out, who, according to Ida, looked quite cross, and said not a single word. Ida thought/assumed that this was because she was angry at being turned out of her bed (Andersen 1984 (1835a): 23)

Thus the inquit restricts the evaluations to emerge from only one specific character or group of characters. In doing so, the level of narration becomes non-evaluative as the evaluation emerges from one or more characters rather than the text itself. This “neutralization” is dissolved when the inquit is removed and the evaluation markers are left unattached to a character.

A somewhat similar situation has been recognized by Stanzel, which he refers to as ‘reflectorization’ (Stanzel 1984). In the examples examined above we were able to trace the evaluation markers to a certain character in the text. According to Stanzel, reflectorization arises when no *specific* character in the story can be the bearer of the evaluation. In reflectorization there is “assimilation of the teller’s language to that of the character’s” (Stanzel 1984: 170). This means that the level of narration is effected by the story level. However, there are no inquit, which indicate that the evaluation emerges from any of the characters (as is the case in character discourse and character narration). Stanzel explains reflectorization as a gradual transition from the authorial to the figural narrative situation as the teller-character gains a consciousness which records the events as in the manner of a figural medium (1984: 176). Stanzel admits that this consciousness is not an embodied consciousness, but rather a ‘figural metaconsciousness’ (1984: 177) which has no existential basis in the text. Stanzel even goes as far as to claim that

...through this reflectorization the authorial narrator develops the ability to camouflage himself, as it were, not only by positioning himself in the fictional world, but also by assuming the mode of perception and in part even the voice and manner of expression of the fictional characters (Stanzel 1984: 198)

Again we find a very intangible and anthropomorphic explanation for the evaluation of the characters⁸⁹. Rather than accepting the evaluation markers as ‘evaluator-less’ (i.e. as unattached to a

⁸⁹ In Towards a Natural Narratology (1996) Monika Fludernik adopts the term ‘reflectorization’ and shares the anthropomorphic approach put forward by Stanzel (see Chapter 5).

consciousness), Stanzel insists on transferring the observations to that of a 'reflectorized narrator' despite its non-existentiality. He bases his theory on an excerpt from Katherine Mansfield's *The Garden Party* (1922):

That really was extravagant, for the little cottages were in a lane to themselves at the very bottom of a steep rise that led up to the house. A broad road ran between. True, they were far too near. They were the greatest possible eyesore and they had no right to be in that neighbourhood at all. They were little mean dwellings painted a chocolate brown. In the garden patches there was nothing but cabbage stalks, sick hens and tomato cans. The very smoke coming out of their chimneys was poverty-stricken. Little rags and shreds of smoke, so unlike the great silvery plumes that uncurled from the Sheridans' chimney. Washerwoman lived in the lane and sweeps and a cobbler, and a man whose house-front was studded all over with minute bird-cages. Children swarmed. When the Sheridans were little they were forbidden to set foot there because of the revolting language and of what they might catch. But since they were grown up, Laura and Laurie on their prowls sometimes walked through. It was disgusting and sordid. They came out with a shudder. But still one must go everywhere; one must see everything. So through they went. 'And just think of what the band would sound like to that poor woman,' said Laura (p.76-7 – my emphasis)

Stanzel considers this passage as mediated through an authorial teller with the exception of the following expressions which cannot be regarded as compatible with the stance of an authorial teller (1984: 171): "That really was extravagant", "True, they were far too near", "the greatest possible eyesore", "little mean dwellings", "nothing but cabbage stalks, sick hens" and "It was disgusting and sordid". Stanzel claims that:

These are not the words of a teller, who unwittingly discloses his own social prejudices and lack of understanding, but rather of someone who represents the Sheridans in his manner of thinking and feeling. The character in question is nameless, because he is not part of the fictional reality of the story. This anonymous reflector-character experiences these deliberations as an event in which earlier experiences and observations of individual members of the Sheridan family are reflected (Stanzel 1984: 171)

When considering reflectorization from a linguistic perspective, it is inadequate to describe the situation as emerging from a nameless, anonymous reflector-character, who does not take part in the fictional reality of the story, but who assumes the values of a group of characters. I agree with Stanzel that there is a change of perspective in the passages quoted above. However, I do not see the need for introducing yet another subject. What we have is simply a variation of character narration where the evaluation markers emerge from *an absent group of characters*, the Sheridans, rather

If we return to character narration where the evaluator is explicitly present, we find yet another situation. In the opening of Andersen's fairy tale "The Child in the Grave" (1859) the emotions of several characters is expressed at once:

every heart in the house felt the deepest grief; for the youngest child, a boy of four years old, the joy and hope of his parents, was dead (Andersen 1984 (1859): 332)⁹⁰

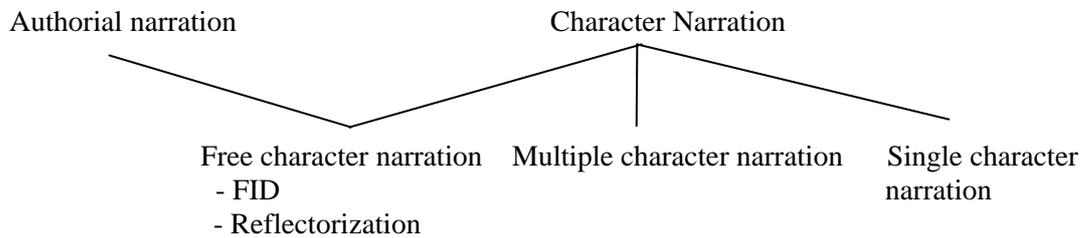
Here the 'deepest grief' is felt by 'every heart in the house'. Thus the evaluator is a group of characters in the text rather than a single character. The question 'who evaluates?' is consequently answered by several characters. I will refer to this form of character narration as 'multiple character narration'. In "The Child in the Grave" we find an interesting shift between the two forms of character narration. As the story zooms in on the main protagonist of the story, the narration shifts from multiple character narration ('every heart in the family', 'the sisters') to single character narration ('the father', 'the mother'):

The sisters mourned as young hearts can mourn, and were especially grieved at the sight of their parents' sorrow. The father's heart was bowed down, but the mother sunk completely under the deep grief. Day and night she had attended to the sick child, nursing and carrying it in her bosom, as a part of herself. She could not realize the fact that the child was dead, and must be laid in a coffin to rest in the ground. She thought God could not take her darling little one from her; and when it did happen notwithstanding her hopes and her belief, and there could be no more doubt on the subject, she said in her feverish agony, "God does not know it. He has hard-hearted ministering spirits on earth, who do according to their own will, and heed not a mother's prayers." Thus in her great grief she fell away from her faith in God, and dark thoughts arose in her mind respecting death and a future state. She tried to believe that man was but dust, and that with his life all existence ended. But these doubts were no support to her, nothing on which she could rest, and she sunk into the fathomless depths of despair. In her darkest hours she ceased to weep, and thought not of the young daughters who were still left to her. The tears of her husband fell on her forehead, but she took no notice of him; her thoughts were with her dead child; her whole existence seemed wrapped up in the remembrances of the little one and of every innocent word it had uttered (Andersen 1984 (1859): 332)

As the story develops, character narration mainly emerges from the mother since she is the one who is the protagonist and carries the moral of the story; it is her grief we are acquainted with (mostly realized through mental verbs) and her experiences we witness. She is also the one who overcomes the hardships and turns the world around.

⁹⁰ Der var Sorg i Huset, der var Sorg i Hjerterne, det yngste Barn, en firaars Dreng, den eneste Søn, Forældrenes Glæde og Fremtids Haab, var død (Andersen 1965 (1859): 152)

So far we have identified the following variations of character narration:



Free character narration is not only a construction of character narration, but is rather a combination of authorial and character narration. In multiple and single character narration the evaluator(s) may or may not be present in the sentence in which the evaluation appears.

6.3 Authorial Narration

Authorial narration provides the reader with information regarding setting, time and other circumstances in which the action on story level takes place. This form of narration deviates from character narration in that it does not involve an evaluator. Since there is no evaluator present in authorial narration the question ‘who evaluates?’ is not of interest. What is important is rather ‘what is evaluated how?’. Authorial narration establishes an impression of the atmosphere or mood dominating the scene. The unattached values, attitudes and ideological stance established in authorial narration create a subjective worldview which constitutes the text’s basic norms and values. Authorial evaluation is not contradictory to the evaluation on story level but supplementary:

The woods were already filled with shadows one June evening, just before eight o'clock, though a bright sunset still glimmered faintly among the trunks of the trees. A little girl was driving home her cow, a plodding, dilatory, provoking creature in her behavior, but a valued companion for all that. They were going away from the western light, and striking deep into the dark woods, but their feet were familiar with the path, and it was no matter whether their eyes could see it or not. There was hardly a night the summer through when the old cow could be found waiting at the pasture bars; on the contrary, it was her greatest pleasure to hide herself away among the high huckleberry bushes, and though she wore a loud bell she had made the discovery that if one stood perfectly still it would not ring. So Sylvia had to hunt for her until she found her, and call Co! Co! with never an answering Moo, until her childish patience was quite spent (Jewett “A White Heron” 1994 (1886): 669)

The expression “childish patience” is an authorial interpretation of the character. Since the child does not consider herself as having a childish patience, the evaluation emerges from an outside point of view. This is also conspicuous in the continuation of the story:

If the creature had not given good milk and plenty of it, the case would have seemed very different to her owners. Besides, Sylvia had all the time there was, and very little use to make of it. Sometimes in pleasant weather it was a consolation to look upon the cow's pranks as an intelligent attempt to play hide and seek, and as the child had no playmates she lent herself to this amusement with a good deal of zest. Though this chase had been so long that the wary animal herself had given an unusual signal of her whereabouts, Sylvia had only laughed when she came upon Mistress Moolly at the swamp-side, and urged her affectionately homeward with a twig of birch leaves (Ibid.)

Expressions like ‘consolation’, ‘an intelligent attempt’, ‘amusement’ and ‘zest’ are hardly the vocabulary of ‘a little girl’. Rather than assuming the child’s vocabulary, as we saw in character narration, the language of the child is transformed to adult language on the level of narration and communicated through authorial narration.

Seen from the linguistic level, there is no I-Origo in authorial narration where the evaluation markers can be said to emerge from. What we are dealing with is rather a form of narration which may or may not involve evaluation markers. So far we have only examined authorial narration involving evaluation. This form of narration, however, is only one out of three different forms of authorial narration. If we continue our reading of “The Child in the Grave” we find examples of the three new different forms of authorial narration:

It was a very sad day, and every heart in the house felt the deepest grief; for the youngest child, a boy of four years old, the joy and hope of his parents, was dead. [1]Two daughters, the elder of whom was going to be confirmed, still remained: [2]they were both good, charming girls; [3]but the lost child always seems the dearest; and when it is youngest, and a son, it makes the trial still more heavy (Andersen (1859): 332)⁹¹

In [1] we find the first new form of authorial narration. The sentence does not involve any evaluation markers but serves to set the stage for the reader. Such factual information often takes up

⁹¹ Der var Sorg i Huset, der var Sorg i Hjerterne, det yngste Barn, en firaars Dreng, den eneste Søn, Forældrenes Glæde og Fremtids Haab, var død; to ældre Døttre havde de vel, den ældste skulde netop i dette Aar confirmeres, velsignede, gode Piger begge To, men det mistede Barn er altid det kjæreste og dette var det yngste og en Søn (Andersen 1965: 152)

a lot of space in narrative fiction, since the reader only sees what he or she is told or shown. I will refer to this form of narration as ‘descriptive authorial narration’.

It should be mentioned that descriptive authorial narration may involve distal as well as proximal deictic markers. Fludernik introduces a new term ‘figuralization’ to depict this “evocation of a deictic centre of subjectivity in a reflector-mode narrative that has no ruling figural consciousness attached to it” (1996: 197). Thus figuralization refers to such passages where no character or narrator can be held responsible for the evaluation markers (1996: 217). Figuralization does not have an effect on the forms of narration and discourse in itself; it cannot cause a change of form. This is simply due to the fact that deictic markers only concern the time and place from which we observe the subject of utterance. The form remains descriptive, external or evaluative independent of the deictic markers. Deixis only has an impact on the relation between the narration and the action experienced by the subject of utterance. As mentioned in the chapter on deixis, the use of proximal markers provides the reader with a more immediate access to the narrated events. Consequently, figuralization can be considered a possible variation of authorial narration.

The evaluation in [2] brings together the kind of evaluation identified in “Little Tiny”. The two daughters are evaluated as ‘good’ and ‘charming’. These evaluation markers do not seem to emerge from one or more specific characters in the text. In other words, what we have is a situation where the evaluation markers are left unattached to an evaluator implicitly as well as explicitly. The question ‘who evaluates?’ is therefore left unanswered. This form of narration which so far has been referred to as authorial narration will be classified as ‘evaluative authorial narration’. This form is employed in a great number of H. C. Andersen’s fairytales:

It was lovely summer weather in the country, and the golden corn, the green oats, and the haystacks piled up in the meadows looked beautiful. The stork walking about on his long red legs chattered in the Egyptian language, which he had learnt from his mother. The corn-fields and meadows were surrounded by large forests, in the midst of which were deep pools. It was, indeed, delightful to walk about in the country. In a sunny spot stood a pleasant old farm-house close by a deep river, and from the house down to the water side grew great burdock leaves, so high, that under the tallest of them a little child could stand upright. The spot was as wild as the centre of a thick wood (“The Ugly Duckling” 1984 (1844): 15)⁹²

⁹² Der var saa deiligt ude paa Landet; det var Sommer, Kornet stod guult, Havren grøn, Høet var reist i Stakke nede i de grønne Enge, og der gik Storcken paa sine lange, røde Been og snakkede ægyptisk, for det Sprog havde han lært af sin Moder. Rundtom Ager og Eng var der store Skove, og midt i Skovene dybe Søer; jo, der var rigtignok deiligt derude paa Landet! Midt i Solskinnet laae der en gammel Herregaard med dybe Canaler rundt om, og fra Muren og ned til Vandet voxte store Skræppeblade, der vare saa høie, at smaa Børn kunde staae opreiste under de største; der var ligesaa vildsomt derinde, som i den tykkeste Skov (Andersen 1964: 30).

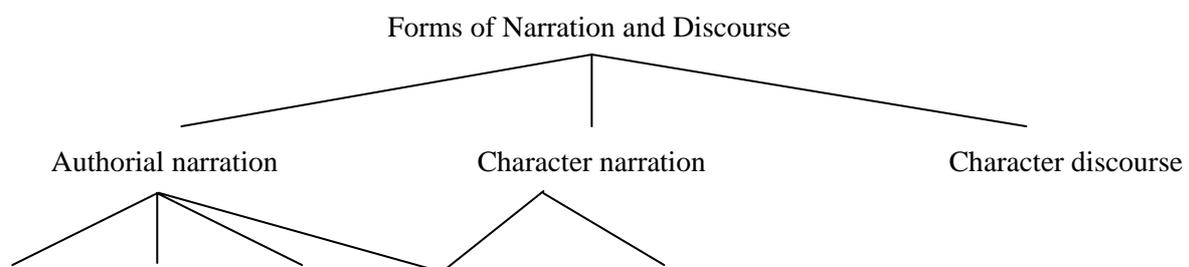
This description is highly evaluative; the summer is ‘lovely’, the haystacks look ‘beautiful’, the farm-house ‘pleasant’. But there are no characters to hold responsible for these evaluation markers. They rather seem to emerge from the text itself and eventually create the text’s set of values and subjective worldview. We find the same kind of evaluative opening in “The Jewish Maiden” (Andersen 1856):

In a charity school, among the children, sat a little Jewish girl. She was a good, intelligent child, and very quick at her lessons (“The Jewish Maiden” 1984 (1856): 266)⁹³

The evaluation markers ‘good’, ‘intelligent’ and ‘quick’ only appear as narrational evaluations.

The third form of authorial narration is expressed in sentence [3]. Here the tense has shifted from past to gnomic present tense. Such aphoristic statements often refer to experiences obtained in the external world – here an information about causality (if x then y). I will therefore refer to this form of narration as ‘external authorial narration’. Text-external information is often decisive to the understanding of the text. The information is highly evaluative in the sense that it gives the reader a specific interpretation of a certain event which controls the sympathy of the reader as is the case in [3].

To sum up, we now have three different forms of authorial narration, namely two text internal forms, ‘evaluative’ and ‘descriptive narration’, and one external form, namely ‘external authorial narration’:



⁹³ Der var i Fattigskolen mellem de andre Smaabørn en lille Jødepige, saa opvakt og god, den Flinkeste af dem Alle sammen (Andersen 1966: 63).

Evaluative External Descriptive Free character nar. Character narration

As we will see in the following analyses, most narratives alternate between the various forms.

6.4 The Function of Forms of Narration and Discourse in Narrative Fiction

The forms of narration and discourse may each be more or less dominant in the narrative. Most texts involve all forms. Each form serves different functions. In the short story “An Occurrence at Owl Creek Bridge” (Bierce (1891)), the Southern civilian Peyton Farquhar, who decides to defend the South during the Civil War, gets caught and sentenced to death by hanging. As he is dying, he hallucinates that he escapes from the execution and almost reaches home. Then, as he is about to reach the arms of his loving wife, his hallucination ends and he dies. The language in the story varies from being “starkly objective and totally unemotional, a military language” to expressing a “true poetry of perception”, as observed by Davidson (1984: 46-55). These different languages are formed through the use of the different forms of narration and discourse. The story opens as follows:

A man stood upon a railroad bridge in northern Alabama, looking down into the swift water twenty feet below. The man's hands were behind his back, the wrists bound with a cord. A rope closely encircled his neck. It was attached to a stout cross-timber above his head and the slack fell to the level of his knees. Some loose boards laid upon the sleepers supporting the metals of the railway supplied a footing for him and his executioners--two private soldiers of the Federal army, directed by a sergeant who in civil life may have been a deputy sheriff. At a short remove upon the same temporary platform was an officer in the uniform of his rank, armed. He was a captain. A sentinel at each end of the bridge stood with his rifle in the position known as "support," that is to say, vertical in front of the left shoulder, the hammer resting on the forearm thrown straight across the chest--a formal and unnatural position, enforcing an erect carriage of the body. It did not appear to be the duty of these two men to know what was occurring at the center of the bridge; they merely blockaded the two ends of the foot planking that traversed it (Bierce 1970 (1891): 305)

In these opening lines the depiction of the scene alternates between descriptive authorial narration (“A man stood upon a railroad bridge...”), external authorial narration (“a sergeant who in civil life may have been a deputy sheriff”, “in the position known as "support," that is to say...”) and evaluative authorial narration (“It did not appear to be...”). It is these authorial descriptions which leads Davidson to the following conclusion: “The military language of the first section ignores (implicitly, *denies*) feelings and sensations. It depersonalizes and ritualizes the processes of killing,

so that those who order and those who act as ordered need never evaluate the implication of their “operations”” (1984: 48).

In the authorial descriptions the evaluation markers cannot be traced to one or more characters in the text. This also seems to be the case in the following paragraph:

A lieutenant stood at the right of the line, the point of his sword upon the ground, his left hand resting upon his right. Excepting the group of four at the center of the bridge, not a man moved. The company faced the bridge, staring stonily, motionless. The sentinels, facing the banks of the stream, might have been statues to adorn the bridge. The captain stood with folded arms, silent, observing the work of his subordinates, but making no sign. Death is a dignitary who when he comes announced is to be received with formal manifestations of respect, even by those most familiar with him. In the code of military etiquette silence and fixity are forms of deference (Bierce 1970 (1891): 305-6)

In the first reading it seems reasonable to consider this paragraph as authorial narration with the last two sentences setting the system of values prevailing in the text through external authorial narration. The first five sentences share one common denominator: the characters are all depicted as motionless (‘not a man moved’, ‘staring stonily’, ‘motionless’, ‘might have been statues’, ‘making no signs’). These descriptions do not only serve the function of vivifying the situation to the reader. They also reflect the strict discipline practised in the military world. This is enforced in the last two sentences where the military system of values is depicted in gnomic present (“Death is a dignitary who...” and “In the code of military etiquette”). As previously mentioned, the shifts from past to gnomic present tense creates a sense of ‘eternal truth’ or factuality seen from the perspective of the military world⁹⁴. However, as we read on we soon realize that the values in the remaining part of the text do not correspond with these military values. This is clear from the authorial characterization of Farquhar:

The man who was engaged in being hanged was apparently about thirty-five years of age. He was a civilian, if one might judge from his habit, which was that of a planter. His features were good--a straight nose, firm mouth, broad forehead, from which his long, dark hair was combed straight back, falling behind his ears to the collar of his well-fitting frock coat. He wore a mustache and pointed beard, but no whiskers; his eyes were large and dark gray, and had a kindly expression which one would hardly have expected in one whose neck was in the hemp. Evidently this was no vulgar assassin. The liberal military code makes provision for hanging many kinds of persons, and gentlemen are not excluded (Bierce 1970 (1891): 306)

⁹⁴ The gnomic present does not cause a shift in tense although it has the same grammatical form as present tense. The function of the gnomic present is to add general validity to a statement (Chatman 1978: 82; Stanzel 1984: 108)

Farquhar is not presented as a 'vulgar assassin' but as a gentleman with good features and kind expressions. Obviously, this evaluation does not emanate from one of the soldiers, despite the many subjective interpretations ('apparently', 'his features were good', etc.). The description is rather authorial since there are no characters who may be held responsible for this subjective evaluation. In the last sentence the tone is clearly sarcastic as the tense changes from past to gnomic present. This statement, i.e. that the army is liberal, but only when it comes to suffering and death, establishes and reflects the text's subjective worldview – a worldview which distances itself from the military values but correlates with Farquhar's values at the end of the story creating sympathy and enforcing his role as protagonist. The last two sentences of the previous paragraph ("Death is..." and "In the code of...") must therefore be considered character narration as they only express the values of a certain group of characters, namely those serving the military. However, Farquhar finds this military jargon appealing at the beginning of the story and wants to become a true war hero. This reading is substantiated by the following paragraph:

Peyton Farquhar was a well-to-do planter, of an old and highly respected Alabama family. Being a slave owner and like other slave owners a politician he was naturally an original secessionist and ardently devoted to the Southern cause. Circumstances of an imperious nature, which it is unnecessary to relate here, had prevented him from taking service with the gallant army that had fought the disastrous campaigns ending with the fall of Corinth, and he chafed under the inglorious restraint, longing for the release of his energies, the larger life of the soldier, the opportunity for distinction. That opportunity, he felt, would come, as it comes to all in war time. Meanwhile he did what he could. No service was too humble for him to perform in aid of the South, no adventure too perilous for him to undertake if consistent with the character of a civilian who was at heart a soldier, and who in good faith and without too much qualification assented to at least a part of the frankly villainous dictum that all is fair in love and war (Bierce 1970 (1891): 307)

This paragraph involves a large number of evaluative expressions: 'highly respected', 'ardently devoted', 'an imperious nature', 'inglorious restraint', 'gallant army', 'the larger life of the soldier' etc. What we have is a disguised self-description. Although the paragraph is written in the third person, it almost appears as a first person narrative in the sense that the evaluation markers all emerge from Farquhar himself. A shift from third person to first person is therefore easily performed:

I was a well-to-do planter, of an old and highly respected Alabama family. Being a slave owner and like other slave owners a politician I was naturally an original secessionist and ardently devoted to the Southern cause. Circumstances of an imperious nature, which it is unnecessary to relate here, had prevented me from taking service with the gallant army that had fought the disastrous campaigns ending with the fall of Corinth, and I chafed under the inglorious restraint, longing for the release of his energies, the larger life of the soldier, the opportunity for distinction. That opportunity, he felt, would come, as it comes to all in war time. Meanwhile he did what he could. No service was too humble for me to perform in aid of the South, no adventure too perilous for me to undertake if consistent with the character of a civilian who was at heart a soldier, and who in good faith and without too much qualification assented to at least a part of the frankly villainous dictum that all is fair in love and war

It is Farquhar who finds the restraint ‘inglorious’ and feels that he is ‘ardently’ devoted to the Southern cause. These are not authorial evaluations (the authorial narration does not embrace these values), but rather another example of free character narration where the evaluations emerge from the third person. It is thus not a question of ‘what is evaluated?’ but rather ‘who evaluates?’, and this question is answered by a character. In the middle of the paragraph the story develops into the standard form of character narration by the use of the mental verbs ‘longing’ and ‘felt’.

If we return to the models developed in the deixis chapter we can describe the close relationship between the homodiegetic and heterodiegetic forms by means of the model on p.59 What happens is that the text, which should be categorized as (C3:D3), in fact functions as (C1:D3):

Deictic Category (D)				
Role of communication (C)	I/we (D1)	You (D2)	He/she/it (D3)	You/one (D0)
Enunciation subject (C1)	1. Basic form C1:D1	C1:D2	C1:D3	C1:D0
Addressee (C2)	C2:D1	2. Basic form C2:D2	↑ C2:D3	C2:D0
Subject of Utterance (C3)	C3:D1	C3:D2	3. Basic form C3:D3	C3:D0

The effect of camouflaging the first person is that the evaluation appears more trustworthy because it seems to be shared on the level of narration.

The use of free character narration also evokes a sense of sympathy towards Farquhar. This is conspicuous in the following sentences where we follow Farquhar’s observations:

He had come to the surface facing down the stream; in a moment the visible world seemed to wheel slowly round, himself the pivotal point, and he saw the bridge, the fort, the soldiers upon the bridge, the captain, the sergeant, the two privates, his executioners. They were in silhouette against the blue sky. They shouted and gesticulated, pointing at him. The captain had drawn his pistol, but did not fire; the others were unarmed. Their movements were grotesque and horrible, their forms gigantic (Bierce 1970 (1891): 310)

The last sentence “Their movements were grotesque and horrible, their forms gigantic” can either be considered an interpretation emanating from the level of narration or from the story level. However, since we have just been told that Farquhar sees the bridge and the people on the bridge, it seems reasonable to consider this interpretation, or point of view, as one emerging from the story level. If the sentence had been introduced by an inquit such as “Farquhar thought that their movements...”, the statement would have seemed less factual to the reader since it would have been limited to the observation of one person. Thus the factuality and sympathy in free character narration evokes because the utterances and opinions expressed seem to be shared on the level of narration. Free indirect discourse has a somewhat similar effect:

His face had not been covered nor his eyes bandaged. He looked a moment at his "unsteadfast footing," then let his gaze wander to the swirling water of the stream racing madly beneath his feet. A piece of dancing driftwood caught his attention and his eyes followed it down the current. How slowly it appeared to move, What a sluggish stream! (Bierce 1970 (1891): 306)

His eyes felt congested; he could no longer close them. His tongue was swollen with thirst; he relieved its fever by thrusting it forward from between his teeth into the cold air. How softly the turf had carpeted the untraveled avenue--he could no longer feel the roadway beneath his feet! (Bierce 1970 (1891): 312)

Here Farquhar’s voice is audible in the narration giving a sense of immediacy – a privilege only granted Farquhar.

It is interesting to note that there is a general shift of style in the end of the story where Farquhar realizes that he is going to die. Here the objective language is replaced by a language full of perception. Or, as Davidson concludes, “Farquhar’s mental responses become more evaluational, not simply naked sensory reactions” (Davidson 1984: 51). This shift of style is achieved by shifting from authorial narration to free character narration. The experiences become more personal as Farquhar faces the hour of death.

To sum up, in “An Occurrence at Owl Creek Bridge” the reader places his/her sympathy with Farquhar because of the following three narrative effects:

- the direct access to Farquhar’s feelings
- the acquaintance with his background story
- the correspondence between the values on the level of narration and Farquhar’s values on story level

The language of the story changes from an impersonal to a more personal tone as the story develops reflecting Farquhar’s mental development as he becomes more emotionally aware of his situation. Rather than hiding between military jargon, he finds his own language and realizes that he values love more than war.

The alternation between the different forms of narration and discourse is also found in Stephen Crane’s short story “The Open Boat” (1898). The story is about four survivors of a shipwreck – a cook, an oiler, a correspondent and the captain – who are making their way to shore in a dinghy. This chaotic situation is depicted in great detail and with vivid descriptions, leaving the reader with a clear vision of the survivors’ horrifying struggle for survival against the extreme forces of nature. Knapp (1987) observes that there are two important themes in the text: the relationship between individuals and the relationship between individuals and nature (1987: 153-4). These relations are depicted through various forms of narration and discourse. The following excerpts are examples of external authorial narration:

Shipwrecks are apropos of nothing (1968 (1898): 283)

The injured captain, lying in the bow, was at this time buried in that profound dejection and indifference which comes, temporarily at least, to even the bravest and most enduring when, willy-nilly, the firm fails, the army loses, the ship goes down. The mind of the master of a vessel is rooted deep in the timbers of her, though he command for a day or a decade (1968 (1898): 277)

To express any particular optimism at this time they felt to be childish and stupid, but they all doubtless possessed this sense of the situation in their mind. A young man thinks doggedly at such times (1968 (1898): 280)

And the oiler rowed, and then the correspondent rowed. Then the oiler rowed. It was a weary business. The human back can become the seat of more aches and pains than are registered in books for the composite anatomy of a regiment. It is a limited area, but it can become the theatre of innumerable muscular conflicts, tangles, wrenches, knots, and other comforts (1968 (1898): 287)

A night on the sea in an open boat is a long night (1968 (1898): 291)

When it occurs to a man that nature does not regard him as important, and that she feels she would not maim the universe by disposing of him, he at first wishes to throw bricks at the temple, and he hates deeply the fact that there are no bricks and no temples (1968 (1898): 294)

In the quotations above the inimitable situation experienced in a shipwreck is presented through the use of gnomic present. As we saw in “An Occurrence at Owl Creek Bridge” such sentence constructions convey a sense of general validity which serve to provide the reader with external knowledge and thereby set the subjective worldview (and sympathy) of the text. In Bierce’s text we saw that some of the sentences written in gnomic present emerged from the story level through character narration. In “The Open Boat”, however, the gnomic present can only be traced to the level of narration i.e. through external authorial narration. These sentences all occur when the story is concerned with general external knowledge of maritime insights, human reactions to extreme and dangerous situations or nature’s indifference to man – the main themes of the story. The function of such sentences is to enable the reader to understand the physical as well as mental actions and reactions of the characters. By creating a better understanding of these reactions the story becomes more vivid to the reader.

The force of nature and human kind is also described through descriptive authorial narration, evaluative authorial narration, character narration and character discourse. Consider the following description:

At last, from the top of each wave, the men in the tossing boat could see land. Even as the lighthouse was an upright shadow on the sky, this land seemed but a long black shadow on the sea. It certainly was thinner than paper (1968 (1898): 283)

This part is written in the evaluative authorial form. The comparison “It certainly was thinner than paper” and the verb of perception ‘seem’ in “this land seemed but a long black shadow on the sea” both reflect not a “neutrally observing narrator” as suggested by Cady (1980: 151), but a highly evaluative form of narration⁹⁵. Such evaluative authorial statements are found a number of times in the text:

⁹⁵ The comparison “it certainly was thinner than paper” can also be read as free character narration emerging from the characters in the story. The distinction between evaluative authorial narration and free character narration is often ambiguous.

The horizon narrowed and widened, and dipped and rose, and at all times its edge was jagged with waves that seemed thrust up in points like rocks (1968 (1898): 277)

Canton flannel gulls flew near and far. Sometimes they sat down on the sea, near patches of brown sea-weed that rolled over the waves with a movement like carpets on line in a gale (1968 (1898): 280)

The brown mats of sea-weed that appeared from time to time were like islands, bits of earth (1968 (1898): 281)

There was a long, loud swishing astern of the boat, and a gleaming trail of phosphorescence, like blue flame, was furrowed on the black waters (1968 (1898): 293)

A seat in this boat was not unlike a seat upon a bucking broncho, and, by the same token, a broncho is not much smaller. The craft pranced and reared, and plunged like an animal. As each wave came, and she rose for it, she seemed like a horse making at a fence outrageously high (1968 (1898): 278)

The authorial personification of nature reflects the text's understanding of nature as an uncontrolled force inconsiderate to humankind. Notice the paradox which lies in the fact that nature's inhumanity is depicted through personifications. The consideration of man as inferior to nature is also shared on the story level:

The correspondent wondered if none ever ascended the tall wind-tower, and if then they never looked seaward. This tower was a giant, standing with its back to the plight of the ants. It represented in a degree, to the correspondent, the serenity of nature amid the struggles of the individual – nature in the wind, and nature in the vision of men. She did not seem cruel to him then, nor beneficent, nor treacherous, nor wise. But she was indifferent, flatly indifferent (1968 (1898): 297)

Here the correspondent's evaluation of nature as being "indifferent" to man expressed through character narration corresponds with the ideology identified on the level of narration through authorial narration. Again the inhumanity of nature is presented through personification ("indifferent, flatly indifferent").

As mentioned, authorial narration is important to decode in order to get access to the subjective worldview of the text. However, in some situations authorial narration only has limited access to the story world:

The crest of each of these waves was a hill, from the top of which the men surveyed for a moment a broad tumultuous expanse, shining and wind-driven. It was probably splendid, it was probably glorious this play of the free sea, wild with lights of emerald and white and amber (1968 (1898): 279)

In this paragraph we find an example of a 'limited descriptive authorial narration', as the words of estrangement ('probably') establish a limited access to the story level. We find the same situation in the following paragraph where the limited vision forces a reflection of what the situation must have been like:

In the wan light the faces of the men must have been grey. Their eyes must have glinted in strange ways as they gazed steadily astern. Viewed from a balcony, the whole thing would doubtless have been weirdly picturesque. But the men in the boat had no time to see it, and even if they had had leisure, there were other things to occupy their minds. The sun swung steadily up the sky, and they knew it was broad day because the colour of the sea changed from slate to emerald green streaked with amber lights, and the foam was like tumbling snow. The process of the breaking day was unknown to them. They were aware only of this effect upon the colour of the waves that rolled toward them (1968 (1898): 278-9)

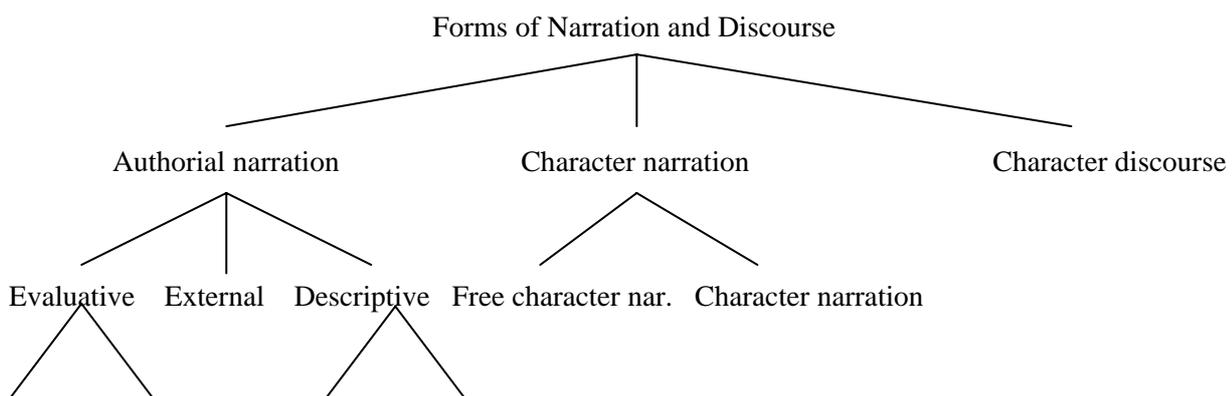
In this paragraph the perspective changes from a limited external point of view ("the faces of the men must have been grey...") to an internal viewpoint ("they knew..."). The imaginations of how the characters and the situation might have looked like emerge from a limited descriptive or evaluative authorial narration since there is no explicit evaluator present in the text – the evaluations cannot be traced to one or more characters. The enforcement 'doubtless' also reveals a sense of uncertainty. If we remove this enforcement, the sentence would be an example of evaluative authorial narration rather than limited evaluative authorial narration. In the sentences "the men in the boat had no time to see it" and "The process of the breaking day was unknown to them" we find yet another narrative situation. Here the information provided through authorial description exceeds the knowledge of the characters. This is what traditionally has been referred to as the 'omniscient narrator'. On the linguistic level we will refer to this situation as 'unlimited descriptive authorial narration'.

The words of estrangement may also cause a third variation which we find in Sarah Orne Jewett's "A White Heron" (1886). The story is about a poor little girl who lives in the woods with her grandmother. One day a man comes by. He is very interested in the white heron which is a very rare bird. He offers Sylvia some money if she will show him where the bird has its nest. But suddenly Sylvia realizes that the man is going to catch the bird, and she decides to protect the heron and keep her knowledge to herself. However, it is only in the very end of the story, that she sees the man's true colours:

Sylvia would have liked him vastly better without his gun; she could not understand why he killed the very birds he seemed to like so much (1994 (1886): 674)

In this sentence the verb 'seem' emerges from a character in the text. The sentence clearly illustrates that the protagonist Sylvia has a more limited view on the stranger, due to her childish perception, than the more mature reader, who already knows that the man only pretends to like the bird – a situation similar to the situation identified in "Little Ida's Flowers" in the previous chapter. This difference of perception is explicated on the level of narration through the verb 'seem'. If we delete this verb from the sentence, the distinction between the way Sylvia perceives the man and the way the man "really is" would be blurred: Sylvia would have liked him vastly better without his gun; she could not understand why he killed the very birds he liked so much (1994 (1886): 674)

If we add the new situations to the model, it will look as follows:



Limited Unlimited Limited Unlimited

The words of estrangement can thus serve two different functions: in character narration they can limit a perception or understanding on the story level, whereas in authorial narration they reflect the limited access to the story level. By providing the reader with inside as well as outside observations the characters become more subtle. The limited viewpoint calls for the reader's imagination as it forces the reader to experience the actions on the same conditions as an observer.

To sum up, the analyses have provided a more detailed understanding of the forms of narration and discourse. They have also revealed that the values are identical in some stories throughout the text in all forms of narration and discourse and levels. If the evaluation on the level of narration had been inconsistent with the actual action on story level, i.e. if man had succeeded in taming nature in "The Open Boat", the narration would have been unreliable. This is the case in a story by Stephen Crane, namely "The Bride Comes to Yellow Sky" (1898).

6.4.1 Unreliable Narration

"The Bride Comes to Yellow Sky" is a story about a sheriff, Jack Potter, who has just gotten married and is now returning home to his town, Yellow Sky, from a trip to San Antonio. The town is depicted as an 'innocent and unsuspecting community'. However, these evaluation markers do not correspond with reality: Yellow Sky is depicted as 'dozing' and the innocent picture is soon demolished as the town drunk, Scratchy Wilson, is looking for a gunfight. Consider the following description:

The barkeeper took a seat comfortably upon an adjacent box. "You see," he whispered, "this here Scratchy Wilson is a wonder with a gun -- a perfect wonder -- and when he goes on the war trail, we hunt our holes -- naturally. He's about the last one of the old gang that used to hang out along the river here. He's a terror when he's drunk. When he's sober he's all right -- kind of simple -- wouldn't hurt a fly -- nicest fellow in town. But when he's drunk -- whoo!" (1965 (1898): 320)

Wilson is presented as a very dangerous person on story level through character narration – an evaluation which seems to be shared not only by the community but also on the level of narration through evaluative authorial narration:

A man in a maroon-colored flannel shirt, which had been purchased for purposes of decoration and made, principally, by some Jewish women on the east side of New York, rounded a corner and walked into the middle of the main street of Yellow Sky. In either hand the man held a long, heavy, blue-black revolver. Often he yelled, and these cries rang through a semblance of a deserted village, shrilly flying over the roofs in a volume that seemed to have no relation to the ordinary vocal strength of a man. It was as if the surrounding stillness formed the arch of a tomb over him. These cries of ferocious challenge rang against walls of silence. And his boots had red tops with gilded imprints, of the kind beloved in winter by little sledding boys on the hillsides of New England.

The man's face flamed in a rage begot of whisky. His eyes, rolling and yet keen for ambush, hunted the still doorways and windows. He walked with the creeping movement of the midnight cat. As it occurred to him, he roared menacing information. The long revolvers in his hands were as easy as straws; they were moved with an electric swiftness. The little fingers of each hand played sometimes in a musician's way. Plain from the low collar of the shirt, the cords of his neck straightened and sank, straightened and sank, as passion moved him. The only sounds were his terrible invitations. The calm adobes preserved their demeanor at the passing of this small thing in the middle of the street (1965 (1898): 320-1)

This authorial description of Wilson seems to substantiate what we have been told about him on story level, that he is “a wonder with a gun”. However we soon learn that Wilson is far from being “a wonder with a gun”:

Ultimately the man was attracted by the closed door of the "Weary Gentleman" saloon. He went to it, and hammering with a revolver, demanded drink.

The door remaining imperturbable, he picked a bit of paper from the walk and nailed it to the framework with a knife. He then turned his back contemptuously upon this popular resort, and walking to the opposite side of the street, and spinning there on his heel quickly and lithely, fired at the bit of paper. He missed it by a half inch. He swore at himself, and went away. Later, he comfortably fusilladed the windows of his most intimate friend. The man was playing with this town. It was a toy for him (1965 (1898): 321-2)

Here the action on story level is inconsistent with the narrational and narrated character presentation of Wilson as a character. Rather than being a ‘terror’ and a ‘wonder with a gun’ he behaves like a foolish man incapable of inspiring anybody with fear except the dog. Hereby Crane “demolishes the images of the[...]blood-thirsty outlaw”, as observed by Knapp (1987: 156).

The presentation of an event on the level of narration and story level may also point in two different directions without being unreliable. This situation constitutes a fourth form of narration which I will refer to as ‘conscious narration’.

6.5 Conscious Narration

In “The Open Boat” we saw how the external authorial narration is employed in order to provide the reader with a better understanding of the character’s situation at sea. External authorial narration may, however, also serve a different function. In *Transparent Minds* (1978) Cohn examines the following paragraph:

The next day Rastignac dressed himself very elegantly, and at about three o’clock in the afternoon went to call on Mme de Restaud, indulging on the way in those dizzily foolish dreams which fill the lives of young men with so much excitement: they then take no account of obstacles nor of dangers, they see success in everything, poeticize their existence simply by the play of their imagination, and render themselves unhappy or sad by the collapse of projects that had as yet no existence save in their heated fancy; if they were not ignorant and timid, the social world would not be possible. Eugène walked with extreme caution in order not to get muddy (Balzac *Old Goriot*, quoted in Cohn 1983: 24)

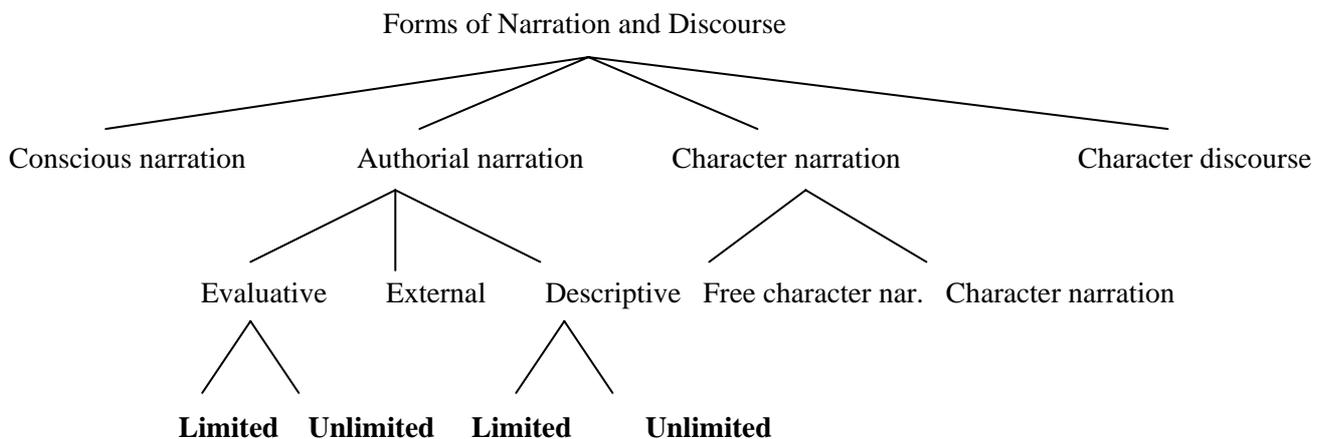
In this text the gnomic present serves a different function than in “The Open Boat”. Rather than providing the reader with supplementary information, the gnomic present offers a sceptic view of the character’s thoughts. This view is, according to Cohn, provided by the narrator:

In these texts, even as the narrator draws the reader’s attention away from the individual fictional character, he fixes it on his own articulate self: a discursive intelligence who communicates with the reader about his character – behind his character’s back (Cohn 1983 (1978): 25)

Our discussion up to this point suggests a relation of inverse proportion between authorial and figural minds: the more conspicuous and idiosyncratic the narrator, the less apt he is to reveal the depth of his characters’ psyches or, for that matter, to create psyches that have depth to reveal. It almost seems as though the authorial narrator jealously guards his prerogative as the sole thinking agent within his novel, sensing that his equipoise would be endangered by approaching another mind too closely and staying with it too long; for this other mind, contrary to his own disincarnated mental existence, belongs to an incarnated and therefore distinctly limited being (Ibid.)

Cohn examines the narrative situation imposed by the gnomic present, as the narrator’s struggle for attention – an approach deeply rooted in the conception of the narrator as a “person” with human qualities. In her view, the narrator consciously uses the gnomic present tense to overshadow the characters. This anthropomorphic understanding creates an illusion of the text as a dynamic entity where characters and narrators consciously interact with one another, fighting for the reader’s

attention. Such readings often tend to result in useless observations as we see it happen in Cohn’s reading, where the narrator is said to ‘communicate behind the character’s back’ and experiences emotions such as jealousy. This understanding emerges from the belief that the narrator is the organizer of the textual world. A rejection of this literary understanding will therefore necessitate a completely different approach. If we turn to the theoretic clarification introduced previously, we find an alternative explanation for this narrative situation. The main difference between the two approaches lies in the theoretic point of departure: where Cohn’s theory is based on the communicative approach, and therefore constructed on the Communicative level, the theoretic foothold presented in this chapter is based on the linguistic level. If we approach the excerpt from Balzac’s *Old Goriot* from the linguistic theoretic perspective the analysis becomes more constructive than the analysis presented by Cohn. From this perspective we can identify a discrepancy between the character’s presentation and the presentation on the level of narration – a narrative situation I categorize as conscious narration:



The difference between the gnomic present used in “The Open Boat” and the gnomic present used in *Old Goriot* can thus be described as a difference of narration: in “The Open Boat” the gnomic present is employed in order to manifest a set of values and provide the reader with extra, story-external knowledge (manifested through authorial narration or character narration), whereas in *Old Goriot* the shift in tense functions as a way of questioning a character’s train of thoughts (manifested through conscious narration). Thus the two narrative situations serve two different functions: authorial narration is not contradictory to the evaluation on story level but

supplementary, whereas conscious narration serves to provide an alternative interpretation of the action on the story level, deviating from the interpretation presented by the character itself. Both forms hold the key to the subjective worldview of the text.

In order to be conscious the narration must involve an individual opinion which does not correspond with the set of values expressed on story level. This incongruity can be more or less distinct in the text. In Hemmingway's short story "The Killers" (1928) the conscious narration is easily overlooked:

"What's the idea?" George asked.

"None of your damned business," Al said. "Who's out in the kitchen?"

"The nigger."

"What do you mean the nigger?"

"The nigger that cooks."

"Tell him to come in."

"What's the idea?"

"Tell him to come in."

"Where do you think you are?"

"We know damn well where we are," the man called Max said. "Do we look silly?"

"You talk silly," Al said to him. "What the hell do you argue with this kid for? Listen," he said to George, "tell the nigger to come out here."

"What are you going to do to him?"

"Nothing. Use your head, bright boy. What would we do to a nigger?"

George opened the slit that opened back into the kitchen. "Sam," he called. "Come in here a minute."

The door to the kitchen opened and the nigger came in. "What was it?" he asked. The two men at the counter took a look at him.

"All right, nigger. You stand right there," Al said.

Sam, the nigger, standing in his apron, looked at the two men sitting at the counter. "Yes, sir," he said. Al got down from his stool.

"I'm going back to the kitchen with the nigger and bright boy," he said. "Go on back to the kitchen, nigger. You go with him, bright boy." The little man walked after Nick and Sam, the cook, back into the kitchen (1931 (1928): 84-6 – my emphasis)

In the last paragraph the enunciation subject clearly dissociates itself from the descriptions on story level as 'the nigger and bright boy' is transformed into 'Nick and Sam, the cook'. The apposition 'the cook' is not only a specification of Sam's role in the text – at this point the reader has already been informed that the nigger is the cook, and that the nigger is called Sam. The apposition must therefore serve a different function. Although the transformation in the last paragraph is a neutralization of the descriptions 'nigger' and 'bright boy' carried out on story level, it eventually generates markedness on the level of narration. This markedness arises when the term 'nigger' is replaced by 'Sam' and 'cook', and 'the bright boy' is replaced by 'Nick'. These replacements make

the level of narration salient since the system of values on story level is no longer echoed in the narration. The viewpoint changes from being supplementary to being conscious. Thus the neutrality in the choice of words triggers a markedness on the level of narration. If the narration had remained intact by either assuming or rejecting the values on story level all through the text, the level of narration would have remained unmarked. Thus when Fowler (1977) describes the narrator in “The Killer” as “an eye-witness, recording but not intervening, implicitly in solidarity with the locals, and suspicious, non-committal, towards the intruders whom he leads us to scrutinize” (54), he misses a very important point. What leads Fowler to draw this incorrect conclusion, is that the story involves no mental verbs such as ‘feel’ – what Fowler refers to as ‘modal absence’ (53) – evaluative adjectives or words of estrangement. However, as the analysis has shown, the level of narration may become marked by a simple change of lexicality. Let us compare “The Killers” with a story like Jewett’s “The White Heron” (1886), where the subjective worldview of the text is established through adverbs following inquit in authorial narration:

She did not dare to look boldly at the tall young man, who carried a gun over his shoulder, but she came out of her bush and again followed the cow, while he walked alongside (1994 (1886): 671 – my emphasis)

“I have been hunting for some birds,” the stranger said kindly, “and I have lost my way, and need a friend very much. Don't be afraid,” he added gallantly (1994 (1886): 671 – my emphasis)

“You can sleep on husks or feathers,” she proffered graciously (1994 (1886): 672 – my emphasis)

The cow was a good milker, though a plaguy thing to keep track of, the hostess gossiped frankly, adding presently that she had buried four children, so that Sylvia's mother, and a son (who might be dead) in California were all the children she had left. “Dan, my boy, was a great hand to go gunning,” she explained sadly. “I never wanted for pa'tridges or gray squer'ls while he was to home. He's been a great wand'rer, I expect, and he's no hand to write letters. There, I don't blame him, I'd ha' seen the world myself if it had been so I could”. “Sylvia takes after him,” the grandmother continued affectionately, after a minute's pause (1994 (1886): 674 – my emphasis)

Here the mood and the manner of the characters is made explicit through evaluative authorial narration. These evaluations do not draw attention to themselves since they provide a genuine and non-contradictory evaluation of the circumstances.

In “The Killers” we have just seen how the narration changes from character discourse and descriptive authorial narration, to what I refer to as conscious narration. The change of reference in

the text reflects a conscious dissociation on the level of narration from the values governing story level. We can explain this narrative situation as involving “A dialogic perspective structure[...]characterized by unresolved conflicts between discrepant world-models”, whereas character narration involves a ‘monologic structure’ with only one worldview (Nünning 2001: 217). In conscious narration the conflict arises between the level of narration and the story level. Consider the following excerpt from Mann’s *Death in Venice* (1911):

Too late, he thought at this moment. Too late! But was it too late? This step he had failed to take, it might quite possibly have led to goodness, levity, gaiety, to salutary sobriety. But the fact doubtless was, that the aging man did not want the sobering, that the intoxication was too dear to him. Who can decipher the nature and pattern of artistic creativity? Who can comprehend the fusion of disciplined and dissolute instincts wherein it is so deeply rooted? For not to be capable of wanting salutary sobering is dissoluteness. Aschenbach was no longer disposed to self-criticism; the tastes, the spiritual dispositions of his later years, self-esteem, maturity, and tardy single-mindedness disinclined him from analyzing his motives, and from deciding whether it was his conscience, or immorality and weakness that had prevented him from carrying out his intention (493-4)

In this paragraph there is a clear distinction between the understanding on the level of narration and the understanding of the character on the story level. The understanding on the level of narration does not supplement the understanding of the character, but questions the character’s interpretation and presents an individual assessment of the situation. This assessment creates a separate consciousness which not only reports but freely comments on the characters, dissociating itself from their actions and motives. We find a similar situation in the closing of Sarah Orne Jewett’s short story “A White Heron” (1886):

No, she must keep silence! What is it that suddenly forbids her and makes her dumb? Has she been nine years growing, and now, when the great world for the first time puts out a hand to her, must she thrust it aside for a bird's sake? The murmur of the pine's green branches is in her ears, she remembers how the white heron came flying through the golden air and how they watched the sea and the morning together, and Sylvia cannot speak; she cannot tell the heron's secret and give its life away.

Dear loyalty, that suffered a sharp pang as the guest went away disappointed later in the day, that could have served and followed him and loved him as a dog loves! Many a night Sylvia heard the echo of his whistle haunting the pasture path as she came home with the loitering cow. She forgot even her sorrow at the sharp report of his gun and the piteous sight of thrushes and sparrows dropping silent to the ground, their songs hushed and their pretty feathers stained and wet with blood. Were the birds better friends than their hunter might have been,-- who can tell? Whatever

treasures were lost to her, woodlands and summer-time, remember! Bring your gifts and graces and tell your secrets to this lonely country child! (1994 (1886): 679)

This conscious narration only appears in these last two paragraphs of the text. Until this point, the narration has alternated between descriptive and evaluative authorial narration. The effect of this conscious narration is to ensure that the reader understands the moral of the story, a situation we often find in Andersen's tales:

The miller's family—one soul, many thoughts, and yet only one—built a new, a splendid mill, which answered its purpose. It was quite like the old one, and people said, "Why, yonder is the mill on the hill, proud to look at!" But this mill was better arranged, more according to the time than the last, so that progress might be made. The old beams had become worm-eaten and spongy—they lay in dust and ashes. The body of the mill did not rise out of the dust as they had believed it would do. They had taken it literally, and all things are not to be taken literally (Andersen "The Windmill" (1865): 1984: 649)

...or through metacomments:

There, that is a true story (Andersen "The Princess and the Pea" 1984 (1835c): 450)

Now you know what a bad boy this wicked Cupid is (Andersen "The Saucy Boy" 1984 (1835d): 448)

In conscious narration the point of view belongs to the level of narration and diverges from the characters' point of view. Cohn has termed this situation 'dissonant narration', which is characterized by "the narrator's superior knowledge of the character's inner life and his superior ability to present it and assess it" (Cohn 1983: 29). In this situation the narrator possesses 'human' qualities, such as consciousness and moral values. These values are often contradictory to the values of the character depicted, causing a distance between the narrator and character – a distance not obtained in character narration. Take for example the epithet 'sad' as used in "The Child in the Grave" ("It was a very sad day..."). If the narrator in this fairytale had chosen to depict the day as a 'happy' day, the enunciation subject would have stood out as an individual with an opinion of its own not corresponding with the other characters' evaluation:

It was a very happy day, and every heart in the house felt the deepest grief; for the youngest child, a boy of four years old, the joy and hope of his parents, was dead. Two daughters, the elder of whom was going to be confirmed, still remained

In this version the narration has shifted from character narration to conscious narration as in *Death in Venice* (1911), which Cohn explains as follows:

The narrator distances himself from Aschenbach immediately, by questioning the directly quoted exclamation “too late,” and by then interpreting the failed action as a symptom of abnormal behavior – a form of behaviour contrary to the norms held by the narrator (Cohn 1983: 28)

It is the disparity between the values of the character and the values expressed on the level of narration which establishes conscious narration in the quotation from *Death in Venice* (1911). If the values of the narrator had not been contradictory to those of the character, there would only be one consciousness present, namely that of the character. The narrative situation would then be what Cohn has referred to as ‘consonance’ and what we have termed character narration. As the analysis reveals, “Little Tiny” is one example of this form of narration; here the evaluation on the level of narration merges with Tiny’s set of values. Where dissonance “is dominated by a prominent narrator who, even as he focuses intently on an individual psyche, remains emphatically distanced from the consciousness he narrates”, consonance refers to a mediation “by a narrator who remains effaced and who readily fuses with the consciousness he narrates” (Cohn 1983: 26). This was according to Cohn’s terms, the situation we saw in the opening of “The Child in the Grave”.

Although the distinction between dissonance and consonance is extremely useful in the examination of narration, the theory has one crucial drawback, and that is its communicative outset. Cohn defines consonance as a concrete consonance between two voices, namely the voices of the characters and the voices of the narrator. This understanding is echoed in her following comparison between Mann’s *Death in Venice* (1911) and Joyce’s *A Portrait of the Artist* (1914):

the narration of the protagonists’ consciousness differs in the two works: in sharpest contrast to Mann’s narrator, Joyce’s cannot be grasped as a separate entity within the text. His most striking characteristic is, in fact, that he is ungraspably chameleonic. He persistently adapts his style to the age and mood of his hero, coloring it with baby-talk in the beginning section, with the bathos of the budding artist-in-revolt at the end, and in between with a spectrum of psychological states and developmental stages (Cohn 1983: 30)

Although Cohn admits to the fact that Joyce's narrator cannot be considered a "separate entity", she still insists on its presence in an almost 'Genettian' way. She bases her analysis on the following paragraph from *A Portrait of the Artist*:

Towards dawn he awoke. O what sweet music! His soul was all dewy wet. Over his limbs in sleep pale cool waves of light had passed. He lay still, as if his soul lay amid cool waters, conscious of faint sweet music. His mind was waking slowly to a tremulous morning knowledge, a morning inspiration. A spirit filled him, pure as the purest water, sweet as dew, moving as music. But how faintly it was inbreathed, how passionlessly, as if the seraphim themselves were breathing upon him! His soul was waking slowly, fearing to awake wholly (*A Portrait of the Artist* 1964 (1914): 217)

In this passage all experiences can be ascribed Stephen, the character. There is no superior knowledge and there are no conflicting voices. Even the idioms correspond with the values of Stephen. Cohn employs Leo Spitzer's term "stylistic contagion" in order to explain situations "where the idiom is strongly affected (or infected) with the mental idiom of the mind it renders" (Cohn 1983: 33). However, it is my claim that, seen from the linguistic level, most sentences in the passage above, including passages with free indirect discourse, emerge from Stephen through character narration, rather than a "chameleonic" narrator⁹⁶. There is only one consciousness present, only one evaluator, and that is Stephen. It is mainly his language and his point of view which is presented to the reader. This means that we are incapable of speaking about a narrator on the basis of the paragraph cited above. Since there are no signs of a separate consciousness on the level of narration in the excerpt from *A Portrait of the Artist* the narrator would not be textually retrievable and therefore does not exist on the linguistic level. This understanding is deeply rooted in the restricted understanding of the narrator as an evaluator or individual consciousness freed of any responsibility concerning the selection or arrangement of the textual universe. Textual devices such as the use of the past tense or definite articles and the presence of the third person pronoun do not, in my view, generate a narrator or enunciator unless marked in some way. These are merely textual tools which the author can employ in order to construe a text. They only evoke markedness when used differently in the text.

⁹⁶ With the exception of few authorial descriptive sentences (Towards dawn he awoke; Over his limbs in sleep pale cool waves of light had passed.).

If we return to *A Portrait of the Artist* we see that the only element separating this paragraph from first person narration is the third person form. If we change all third person pronouns to first person pronouns the meaning stays intact:

Towards dawn I awoke. O what sweet music! My soul was all dewy wet. Over my limbs in sleep pale cool waves of light had passed. I lay still, as if my soul lay amid cool waters, conscious of faint sweet music. My mind was waking slowly to a tremulous morning knowledge, a morning inspiration. A spirit filled me, pure as the purest water, sweet as dew, moving as music. But how faintly it was inbreathed, how passionlessly, as if the seraphim themselves were breathing upon me! My soul was waking slowly, fearing to awake wholly

The close relationship between first and third person narration reveals that the grammatical form is not very useful in the distinction between forms of narration and discourse. Put on the edge, we can say that character narration is only third person narration on a formal level but first person on a semantic level.

6.6 Preliminary Summary

In the analyses above we have identified four basic forms of narration and discourse. All four forms involve evaluation, but on two different levels; in character discourse and character narration evaluation emerges from the story level (i.e. from the characters), where one or more characters can be held responsible for the evaluation. Evaluation in authorial and conscious narration emerges from the level of narration.

The strength of the four terms introduced above lies in the fact that they are freed of the traditional and often ungraspable term 'narrator'. The term 'narration' only refers to the way in which the action of the story is presented, and is not concerned with an actual 'mediator'. This enables a more precise toolkit for describing narrative fiction. Descriptive authorial narration has, for example, often been referred to as involving an 'impersonal' or 'unintrusive narrator' – two terms which automatically triggers the question of how an impersonal person can come into existence? A similar situation is found in character narration. Here it is the feelings of the characters which is the centre of attention. All we need to be concerned with is 'how' the text is presented, not by 'whom'. Conscious narration and authorial are the only forms where evaluation emerges on the level of narration. Conscious narration has often been referred to as the 'intrusive narrator' which is a partially accepted term, since we can identify an intrusive voice. However, this voice is not

always an embodied voice. The evaluation markers can only be attributed a voice, or what I have referred to as consciousness, not a person in this form of narration.

Chapter 7

The Grammatical System in Narrative Fiction

7.1 The Grammatical System

When examining the grammatical system of the text, we are concerned with the structure employed in order to create meaning. As has already been mentioned, the effect of the grammatical system, especially the level of syntax, has often been neglected in textual analysis. This may be due to the difficulty of determining the exact effect the syntax has on meaning. However, it is my claim that this effect becomes more conspicuous when considered in relation to the different forms of narration and discourse developed in the previous chapters.

Another obstacle for the integration of syntactic observations in textual analysis is the lack of a clear indication of when a sentence is marked syntactically and when it is unmarked. There are thus two purposes of the present chapter, namely 1) to clarify when a sentence is marked or unmarked 2) to examine how the level of syntax effects the forms of narration and discourse.

7.2 Marked and Unmarked Sentences on the Level of Syntax

Marking on the level of syntax is concerned with the order of the sentence constituents; how are the words and sounds combined in order to convey meaning? The answer to this question may seem straightforward at this level of analysis when considering texts like the following:

Late in the afternoon of a chilly day in February, two gentlemen were sitting alone over their wine, in a well-furnished dining parlor, in the town of P-, in Kentucky. There were no servants present, and the gentlemen, with chairs closely approaching, seemed to be discussing some subject with great earnestness (Stowe (1852) 1994: 1)

There once lived in a sequestered part of the county of Devonshire, one Mr. Godfrey Nickleby, a worthy gentleman, who taking into his head rather late in life that he must get married, and not being young enough or rich enough to aspire to the hand of a lady of fortune, had wedded an old flame out of mere attachment, who in her turn had taken him for the same reason: thus two people who cannot afford to play cards for money, sometimes sit down to a quiet game for love (Dickens (1829) 1994: 5)

On an overall level the two excerpts both serve to provide the reader with information about 'when', 'where' and 'who', creating a scene or stage in an authorial tone, where the story or events

are to take place. This information is conveyed on the level of syntax as follows; in the first text – the opening of *Uncle Tom’s Cabin* – we find one adverbial group in pre-head position specifying the time of action, and in post-head position we find three adverbial groups specifying the place. In the second text – the opening of *Nicholas Nickleby* – a characterization of Mr. Godfrey Nickleby takes up most of the space introduced by the apposition “a worthy gentleman...” followed by two relative clauses. The different patterns are all placed in their standard positions, and serve their ascribed communicative functions; the adverbials express properties and the apposition and relative clauses convey an elaboration of the head (Bache & Davidsen-Nielsen 1997: 447/344). There are thus no deviations in the chaining together of the constituents; the form is objective from a syntactic point of view, and draws no particular attention to the level of narration. This is in contrast to some of the writings of Bartheleme:

Rebecca Lizard was trying to change her ugly, reptilian, thoroughly unacceptable last name. “Lizard,” said the judge. “Lizard, Lizard, Lizard. Lizard. There’s nothing wrong with it if you say it enough times. You can’t clutter up the court’s calendar with trivial little minor irritations. And there have been far too many people changing their names lately. Changing your name countervails the best interests of the telephone company, the electric company, and the United States government. Motion denied.” Lizard in tears. Lizard led from the courtroom. A chrysanthemum of Kleenex held under her nose (“Rebecca” 1982 (1976): 280)

The last two lines are of special interest from a syntactic point of view as the sentences are incomplete, missing the predicator or only the finite verb. In “Cortés and Montezuma” (Barthelme 1979) we find another example of an incomplete sentence:

In bed with Cortés, Doña Marina displays for his eyes her beautiful golden buttocks, which he strokes reverently (1982: 333)

In the first sentence the nexus (i.e. the subject and the predicator) is missing. In both examples the incompleteness is occasioned by a deviation of the standard sentence patterns listed below:

S P	(My wife / eats)
S P A	(My wife / is / in London)
S P O	(My wife / eats / vegetables)
S P Cs	(My wife / is / good looking)
S P Oi Od	(My wife / serves / me / a good meal)

S P O Co (My wife / calls / me / crazy)
S P O A (My wife / takes / me / to the zoo)⁹⁷

When the constituent order deviates from the combinations above as is the case in a number of sentences in Barthelme's writing, the sentence is marked and calls for extra attention⁹⁸. Syntactic markedness may also be established in other ways:

Because Cortés lands on a day specified in the ancient writings, because he is dressed in black, because his armor is silver in color, a certain *ugliness* of the strangers taken as a group – for these reasons, Montezuma considers Cortés to be Quetzalcoatl, the great god who left Mexico many years before, on a raft of snakes, vowing to return (Ibid. 328)

Here the subordinator 'because' is fronted and repeated three times. This repetition emphasizes the reasons why Montezuma considers Cortés to be Quetzalcoatl.

To sum up, syntactical markedness may also be established by a rearrangement of the order of the constituents or by repeating certain constituents. As we will see in the analysis below, markedness may also be evoked by the employment of certain schemes through stylistic structures. The use of anaphora, alliteration etc. causes a poetic effect and accentuates the form.

If we define markedness on the level of syntax as deviating structures, we are halfway through defining standard sentences; if markedness is established through deviation, the standard sentences must be characterized by the non-deviating counterparts, i.e. the norm. There is thus a clear-cut formal distinction between the deviating forms and the standardized forms on the syntactic level.

7.3 Syntactic Markedness and its Effect on Forms of Narration and Discourse

In order to illustrate how syntactic structures can generate markedness we will turn to Barthelme's short story "Bishop" (1982). In the story we follow the protagonist 'Bishop', in his everyday life and on his road down memory lane, after his relationship with his girlfriend/lover has come to a

⁹⁷ S = Subject; P = Predicator; A = Adverbial; O(d) = Direct object; Oi = Indirect object; Cs = Subject complement; Co = Object complement

⁹⁸ It should be mentioned that optional adverbials are more mobile than other constituents (including obligatory adverbs) and may emerge in different positions without necessarily being marked. Optional adverbials are only marked when they are extraordinary long (as in 'In the morning after breakfast at the diner next to the bookshop // we // had // a coffee') or when they cause an inversion of the nexus (as in 'on the wall // hang // a picture' (A P O)).

end. Bishop is constantly drinking alcohol, and it will be my claim that his alcoholism is reflected in the sentence structure of the text. Let us begin our examination with the following paragraph (I have separated the sentences into three parts (i), (ii), (iii)):

- (i) A good movie, *Edison*, with Spencer Tracy, at eight.
- (ii) He could call his brother in Charleston.
He could call a friend in Beverly Hills.
He could make a couple of quarts of chilli, freeze some of it.
- (iii) Bishop stands in front of a mirror, wondering why his eyes hurt (Barthelme 1993 (1982): 448)

If we approach this excerpt from the lexical level, we can conclude that (i) is written as authorial narration or free character narration, (ii) is an example free character narration and (iii) is partly descriptive authorial narration and partly character narration indicated by ‘wondering’. Descriptive authorial narration is applied a number of times in the text:

Bishop’s standing outside his apartment building[...]Bishop’s waiting for Cara[...]Cara’s not coming[...]Bishop goes back inside the building and climbs one flight of stairs to his apartment. His bank has lost the alimony payment he cables twice a month to his second wife, in London. He switches on the FM, dialing past two classical stations to reach Fleetwood Mac. At twenty minutes to twelve he makes himself a martini (Ibid. 444-5)

These sentences are all external observations of Bishop’s situation and conduct. There are no evaluation of Bishop’s acts only short descriptions of his whereabouts.

If we take a closer look at the three sentences in the middle – part ii – the presence of the third person pronouns indicate a similar form of narration to the one dictated in part iii. There is, however, a significant difference between the narration in these two parts – a difference in the degree of markedness. In part iii there are no marked structures located in any of the constituent positions. In part ii, conversely, markedness plays an important role, since it is embedded in the structure in at least two different ways. First, the anaphoric repetitions add extra meaning to the text as it gives prominence to each single option Bishop may choose from. The corresponding unmarked form would be a linked coordinated construction like the following:

He could call his brother in Charleston, a friend in Beverly Hills or make a couple of quarts of chilli (Ibid. 448)

The fact that the marked form has been chosen rather than the unmarked form is noteworthy as it adds extra meaning to the text. It is this extra meaning which generates markedness. Secondly, the conjunction has been replaced by a comma in the third sentence of part ii causing a flow in the telling. Hence the form of narration is marked in part ii and this has an effect on the form. As already touched upon, it is my conviction that the marked structures resemble the content level; in the marked sentence constructions the sound of Bishop's voice is audible and thus echoed in the syntax. Technically speaking what happens is that the voice of Bishop on story level becomes audible on the level of narration. This situation where one or more characters influence the authorial narration to such a degree that it becomes a mixture of authorial and character narration has been categorized as 'free character narration'. Since we have a specific character to hold responsible for the enunciations, we are more specifically dealing with free indirect discourse. In "Bishop" the free indirect discourse is constructed by means of many different syntactic constructions in the text. The following two sentences are also examples of sentences missing their conjoints:

Bishop checked with the public library, called her again in London (Ibid. 445)

Still they see each other rather often, sleep together rather often (Ibid. 446)

In some sentences markedness is located in the extra-position occupied by appositions:

The company doctor sent her home with something written on a slip of paper – a diagnosis (Ibid. 445)

She's in textiles, a designer (Ibid. 446)

On the street, he greets a neighbor he's never even nodded to before, a young man who is, he's heard, a lawyer (Ibid. 446)

He buys her flowers, daffodils (Ibid. 446)

In front of his liquor store there are six midday drunks in a bunch, youngish men, perhaps late thirties (Ibid. 446)

The appositions serve to elaborate the preceding subject or object in the sentence, thus providing the reader with a specification or further information not included in the main sentence, usually constructed as a noun group. In the first sentence (“The company doctor sent her home...”) the apposition may reveal two different voices; the diagnosis is first referred to as ‘something’. This may reflect the ignorance of his second wife – she does not know what it is – whereas the medical term ‘diagnosis’ may emanate from Bishop. The last four examples of appositions only serve as specifications.

Other sentences contain adverbial groups either located in the initial, medial or terminal position of the clause (Bache & Davidsen-Nielsen 1997: 137):

His bank has lost the alimony payment he cables twice a month to his second wife, in London (Ibid. 445)

Cara’s been divorced, once (Ibid. 445)

His second wife, working in London, recently fainted at her desk (Ibid. 445)

The artist Peto was discovered when, after his death, his pictures were exhibited with the faked signatures of William Michael Harnett, according to Alfred Frankenstein (Ibid. 445)

When he’s given up on Cara, on a particular evening, he’ll make a Scotch and take to bed with him (Ibid. 446)

Waking in the middle of the night he notices, again and again and again, that he sleeps with one fist jammed against his jaw – forearm, upper arm, and jaw making a rigid defensive triangle (Ibid. 446)

The flowers remain in their paper wrapping in the kitchen, on the butcher-block bar (Ibid. 447)

When the adverbials are placed in terminal position, as in the first two sentence listed above, they seem more like an extra attachment than an integrated part of the clause – a piece of information conveyed to the reader more like “an afterthought”, as Bache and Davidsen describe it (1997: 143). What these unique constructions all convey is the sense that what is written as authorial narration is overshadowed by a personal voice – the voice of Bishop – changing the form of narration into free character narration. Thus the function of these marked sentence structures listed above is to reflect Bishop’s way of thinking on the level of narration; he is drunk most of the time, and this is reflected in the structure as information is added in unusual positions of the sentences. Consequently, the

structure substantiates Bishop's personality or state of mind as the character personality is reflected in the structure of the language on the level of narration.

In part (i) ('A good movie, *Edison*, with Spencer Tracy, at eight') we find yet another kind of markedness. In this sentence there is no nexus. The reader is therefore only informed about the evaluation ('A good movie'), whereas the evaluator has been omitted. Consider the following excerpt:

At twenty minutes to twelve he makes himself a martini. Hideous bouts of black anger in the evening. Then a word or a sentence in the tone she can't bear. The next morning he remembers nothing about it (Ibid. 445)

On the FM, a program called *How to Protect Against Radiation Through Good Nutrition*. He switches it off. In the morning he remembers nothing of what had been said the previous night (Ibid. 445)

If we take a closer look at the structure of these two excerpts, there seems to be more at stake than authorial narration informing the reader about the experiences of the character. In both extracts Bishop experiences a black-out. In the structure of the utterances preceding the realization of the black-outs there seems to be a conflation of the employment of incomplete sentences and Bishop's experiences of these black-outs. In both of the fragments above, the utterances preceding the information of the blackout are all incomplete sentences missing the nexus. As the omission of the nexus is the omission of the 'who' and 'when' the structural omission is very similar to the omission experienced by a person suffering from a black-out; different impressions seem to flash before the eyes without necessarily being connected to a person, time or even a place. Sometimes the only information left is a memory of the agent (i.e. the subject) or the participant affected by the action (i.e. the object) or the circumstances (i.e. the adverbial). The intoxication can thus be traced to the sentence structure as was the case in part (ii). In this part, however, the omission of the nexus blurs the alternation between narration and story as it causes an almost invisible shift in the narration of the text as the character is speaking in his own voice or at least revealing his pre-verbal state of mind to the reader. There is thus no mediation between the reader and the character in this sentence. The level of narration has been reduced and the reader gets direct access to the story level i.e. to the thoughts and perceptions of the character. I have referred to this situation as 'character discourse'. Since the nexus has been omitted, it would not be possible to decide whether such sentences are written as homodiegetic or heterodiegetic narration, when taken out of their context.

There is thus an extra close relationship between the two modes in “Bishop” and the heterodiegetic mode is no longer manifested in the text.

All through the story, the narration constantly alters between marked and unmarked forms; the marked forms generating free character narration and the unmarked forms creating authorial narration. There are, however, a few paragraphs written in character narration. Since there is a clear predominance of authorial narration and free character narration, it is interesting to note where in the text the structures are realized as character narrations. If we take a look at the paragraphs where Bishop mentions his grandparents, it is conspicuous that all these sentences are written as character narration. Here is the first example:

He’s convinced that his grandfather and grandmother, who are dead, will come back to life one day (Ibid. 447)

The sentence above contains a relative clause – a rare constituent in this text since there seems to be a clear preference for the more minimalistic form construed by the apposition. Since the relative clause is so rare in this text, it is important to note where in the text it has been employed. In the sentence above, the topic is Bishop’s grandparents. By employing the relative clause rather than the more discreet epithet (as in ‘his diseased/dead grandparents’) or the apposition (‘his grandparents, dead, will come back...’), the clause becomes more accentuated. The three structures are closely related in the sense that they may replace one another; the epithet and the apposition share the same function as the complement in relative clauses. The difference is one of sentence structure: in a complement construction the modifier and the modified constitute separate sentence constituents (i.e. subject and complement) in contrast to an apposition and an epithet, where they share the same syntactic function. The apposition and epithet are thus a more compact way of constructing the same meaning. The fact that the relative clause has been employed in order to inform the reader that Bishop’s grandparents are dead, is decisive because it accentuates the importance of this piece of information: Bishop’s fantasy of the return of his dead grandparents reveals his abnormal personality. In his fantasy, it almost seems as if he represses the fact that they are dead. Then why does he draw extra attention to the fact that they are dead by using a relative sentence? As shown above, this relative sentence deviates from the sentences in free character narration in that the structure is unmarked. This could indicate that the relative sentence should be ascribed descriptive authorial narration (like the rest of the unmarked sentences), rather than character narration. The

sentence is thus an example of what we could call discontinuous character narration, disrupted by descriptive authorial narration:

[character narration]He's convinced that his grandfather and grandmother, [authorial narration]who are dead, [character narration]will come back to life one day (Ibid. 447)

Consequently, Bishop's illusions stay intact since he is not the one who provides the reader with the information that his grandparents are dead. This is rather a piece of information emerging from authorial narration. Imagine that the sentence was constructed as follows:

His grandfather and grandmother, who are dead, will come back to life one day

In this sentence the belief in the return of the dead is shared on the level of narration, as the sentence is written as authorial narration. As we saw in the analysis of "Little Ida's Flowers", the inquit serves to limit the utterance to one or more characters in the text and free the level of narration from any responsibility. Thus in this sentence, the authorial narration not only separates itself from the utterance by the use of an inquit, but it also draws attention to the obscure thought that dead people can return to life. This is obtained by the use of the relative clause.

In the closing of the novel Bishop pictures the return of his grandparents:

When his grandfather and grandmother come back to life, Bishop sits with them on the veranda of the ranch house looking down to the river, they seem just the same and talk about the things they've always talked about. He walks with his grandfather over the terrain studded with caliche like half-buried skulls, a dirty white, past a salt lick and the windmill and then another salt lick, and his grandfather points out the place where his aunt had been knocked off her horse by a low-lying tree branch. His grandmother is busy burning toast and then scraping it (the way they like it), and is at the same time reading the newspaper, crying aloud "Ben!" and then reading him something about the Stewart girl, you remember who she is, getting married to that fellow who, you remember, got in all the trouble. . . . (Ibid. 447-9)

In this paragraph there are no inquit separating Bishop's imagination from the level of narration. The return of his grandparents is presented as a matter of fact, and this is substantiated by the future and present tense. This does not, however, mean that Bishop's imagination now is shared on the

level of narration. This is just an illusion. The level of narration already separated itself from Bishop's imagination in the sentence just analyzed above ("He's convinced..."). It rather means that the level of narration has been withdrawn from the text, providing a more direct access to Bishop's thoughts through character narration.

The change to character narration when the topic concerns the grandparents, also happens in the following sentence:

He remembers driving to his grandparents' ranch, the stack of saddles in a corner of the ranch house's big inner room, the rifles on pegs over the doors, sitting on the veranda at night and watching the headlights of cars coming down the steep hill across the river (Ibid. 447)

All three extracts concerning the grandparents diverge from the rest of the text. They are all rather conservative in their form: the sentences are long and complete; there are no appositions, and the simile in the closing paragraph 'like half-buried skulls' contributes to the establishment of a more ordinary poetic language while at the same time sustaining the sense of death.

From a structural perspective the this structure seems to indicate that Bishop is more serene in his fantasies than in his everyday life; his fantasies are coherent whereas everyday life mainly consists of disjointed fragments of which he is unaware or at least unable to narrate (an observation which I will return to). The large number of paratactic and hypotactic constructions seem to substantiate this observation since they arrange and juxtapose the events and impressions in a simple order.

Finally, there is one particular narrative device which we have not yet included in the examinations of the structure. Consider the following excerpt:

He's not in love with Cara but he admires her, especially her ability to survive the various men she takes up with from time to time, all of whom (he does not include himself) seem intent on tearing her down (she confides to him), on tearing her to pieces. . . . (Ibid. 446)

Here the reader is being notified about the ignorance of the character through conscious narration by the use of a set of parentheses, creating a sense of irony. A similar situation can be identified in the following sentences:

Also, he formerly bought prints. He has a Jim Dine and a de Chirico and a Bellmer and a Richard Hamilton. It's been years since he's bought a print. (Although he reads the art magazines religiously.) (Ibid. 448)

His grandmother is busy burning toast and the scraping it (the way they like it) (Ibid. 449)

There is, however, a great difference between the function of the two set of parentheses quoted above. The first one, '(Although he reads the art magazines religiously)', shares the same function of irony as the parenthetical insertions already discussed. The second '(the way they like it)', however, seems to fulfil a very different function. The main difference is, that it is not Bishop alone who gets elaborated on. The 'they' may include the grandfather, the grandmother and Bishop at the same time. The function of this parenthetical construction is not to create irony but rather to provide the reader with objective insights into the taste of the family. This substantiates the analysis of the paragraphs involving the grandparents as distinct from the remaining paragraphs. The grandparents convey a sense of ease and calmness in a world of chaos and confusion and represent a time in Bishop's life far away from hysteria, depression and alcoholism. By letting his mind drift back to the experiences connected with his grandparents, Bishop gets a break from the stressful life he is living.

7.4 Preliminary Summary

The level of syntax plays an important role in the communication of the meaning of the text, depending on whether the arrangement of words is accentuated or not. The analysis of Bishop has shown that markedness may be embedded more or less explicitly in the heterodiegetic text by the use of diverse syntactic devices. The marked structures have a vital effect on the forms of narration and discourse as they can cause a change from one form to another. This means that the level of syntax can manipulate the source of the utterance. Thus seen from a communicative perspective, the level of syntax can change the point of view from one focalizer to another.

On the linguistic level, the markedness cannot always be attributed a character. In evaluative authorial narration, for example, the evaluation is not traced back to a subject but rather considered as a building brick in the establishment of the worldview of the text. The ideology and the text's attitude towards the different characters and their actions is formed through evaluative authorial narration. It is this evaluation the author wishes to carry on to the reader. The evaluation on the level of narration may in some situations be rooted in the characters' evaluation. This is what we

see in free character narration. Here the characters' evaluation gets access to the level of narration. This has the effect that the character evaluation corresponds with the evaluation on the level of narration. The correspondence between the values on both levels may create a sense of sympathy towards the character or characters whose evaluation is mediated as free character narration. Thus rather than talking about two voices merging together, free character narration is rather a mergence of two levels, i.e. a mergence between the level of narration and story level.

The great use of character discourse seems to break down the barriers between the homodiegetic and heterodiegetic modes. This has an interesting effect as the heterodiegetic mode almost seems to be interrupted by the direct access to Bishop's thoughts – an access heterodiegetic texts usually only grant through character discourse. There is thus a sense of immediateness which is not characteristic of the mode. Bishop is therefore an example of a text balancing between the two modes.

Chapter 8

Forms of Narration and Discourse in Homodiegetic Narrative Fiction

8.1 The Applicability of Forms of Narration and Discourse in Homodiegetic Narrative Texts

As has already been touched upon, the main difference between heterodiegetic and homodiegetic narrative texts seen from the linguistic level, lies in the fact that heterodiegetic texts only involve a subject of utterance, whereas in homodiegetic texts the enunciation subject and the subject of utterance are both present. This means that in homodiegetic texts we always have a subject to hold responsible for lexical evaluation and syntactic markedness. In other words, in homodiegetic texts the deictic centre contains an 'I', whereas in heterodiegetic texts the I-Origo consists of third person pronouns or the text itself. Thus the subject of utterance becomes the I-Origo in heterodiegetic texts, whereas in homodiegetic texts it is the enunciation subject which is placed at the I-Origo.

The question is, whether the forms of narration and discourse are of any use in the examinations of homodiegetic texts. Is it fruitful to consider homodiegetic narrative fiction as a function? Is it, for example, possible to speak of authorial narration in homodiegetic texts, or should all utterances be traced back to the first person? The answers to these questions are 'yes' and 'yes'. Homodiegetic texts are as a rule written as character discourse. In some stories, however, a certain piece of information has been narrated which the first person cannot possibly have had access to. This is for example seen in the Danish short story "Polterabend" (1997) by Sonnergaard, where the first person narrates about events he has not been witnessing, or in Melville's *Moby Dick* (1851) where we suddenly get access to the thoughts of other characters. In such stories, the first person seems to function as a third person. In traditional theory such descriptions would be ascribed the implied author. In his article *The Impersonal Voice in First-Person Fiction* (2004) Henrik Skov Nielsen explains such passages which cannot be accounted for satisfactorily by means of the first-person narrator by introducing the concept of an 'impersonal voice' who can alternate between different characters in the narrative:

The impersonal voice of the narrative can move from character to character, limiting its range of insight, its vocabulary, and its point of view to that of one particular character in one passage and that of another character in the next. The impersonal voice of the narrative can say what a narrating-I cannot say, produce details that no person could remember, render the thoughts of

other characters, speak when the character remains forever silent etc. It speaks, however, in the first person, both when the possibilities of the person referred to by the first-person pronoun are abandoned and when it says what this person can say (Nielsen 2004: 139-140)

Nielsen uses the following sentence as one example of the work of the impersonal voice: “‘Disarm’ by the Smashing Pumpkins starts playing on the soundtrack and the music overlaps a shot of the club I was going to open in TriBeCa and I walk into that frame, not noticing the black limousine parked across the street” (Ellis 1999: 168). Nielsen examines the comment ‘not noticing’ as an utterance emerging from the impersonal voice. It is, however, not necessary to employ yet another subject in order to describe this “strange feature”, as Nielsen describes it (140).

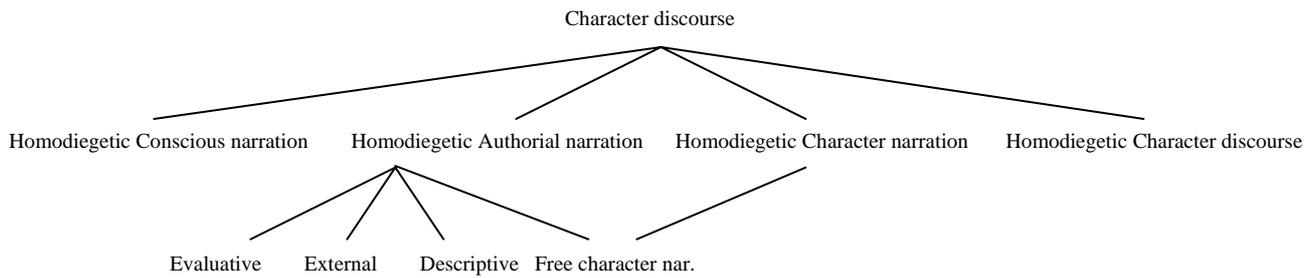
Nielsen analyzes two more examples which are very different from the first. The first example is taken from *The Golden Ass* by Aqueleius: “This the trifling and drunken woman declared to the captive maiden, but I, poor ass, not standing far off, was not a little sorry in that I lacked pen and book to write so worthy a tale” (285). The other example is quoted from Japrisot’s novel *The Lady in the Car with Glasses and a Gun*: “At the Liberation, less than two years after the death of her husband, my mother jumped from a window out of town hall just after her head had been shaved. I have nothing to remember her by. If I tell this to someone one day I will add, not even a lock of her hair. If they give me a horrified look, I don’t care” (9). In both examples, Nielsen holds the impersonal voice responsible for the utterances which, logically speaking, cannot be traced to the enunciation subject.

Language is, however, not always logic. Even in everyday language, we can say something like: “If I were a little bit more brave, I would tell you to get your act together”. Here there is no impersonal voice to hold responsible for the utterance. It is the ‘I’ who speaks. It is the same situation we find in the last two examples examined by Nielsen. In both examples the first person plays tricks on the reader, as it pretends not to be the producer of the narrative. This does not necessarily give rise to invent a second voice to hold responsible for these utterances. The first person *is* narrating, this should not be questioned. What we are witnessing is not a splitting between the voice of a character and the voice of a narrator, but rather a first person pretending to play the role as subject of utterance although its real role is to function as enunciation subject.

The first example deviates from the last two examples, in that the sentence “not noticing...” generates a different form of narration. The comment is, in my terminology, a clear example of conscious narration. Strictly speaking, in the sentence an information which the character does not have access to is revealed on the level of narration.

Although Nielsen touches upon a very interesting and important area in the theory of narration which has not been given enough attention, his concept of the impersonal voice seems to evoke similar problems as those associated with the implied author; the impersonal voice is a bodiless voice that “neither belongs to the narrating-I nor to the narrated-I” (Nielsen 2004: 139). This bodiless construction does, however, possess human abilities; it can speak, move from character to character, alternate between different points of view, mediate the thoughts of the characters etc. Only, it is not embodied in the text. One only needs to recall Chatman’s definition of the implied author as “no person, no substance, no object” (Chatman 1990: 87) to see the similarities.

Again, I will make the claim that we do not need yet another subject in order to be able to explain the dynamics of narration. By considering the narrative, whether homodiegetic or heterodiegetic, as a text consisting of different forms of narration and discourse, the study of narration becomes more text based than when inserting different subjects who/which are not always textually retrievable. This means, that the forms of narration and discourse identified in the heterodiegetic texts in the previous chapters can be applied to homodiegetic narratives. This postulation is based on the assumption that the first person pronoun serves the same functions as can be identified in heterodiegetic texts. First, the reader will need to be informed about circumstances in which the discourse of the characters (including the first person) takes place; how is the setting? What has happened previously? How was the mental state of the enunciation subject previous to the present situation, etc. As pointed out by Cohn, such statements can “range widely between relatively objective report and relatively subjective expressions” (Cohn 1983: 188). Secondly, the discourse of the other characters must also be mediated. These two tasks are identical in both forms, and it is therefore not surprising that the forms of narration and discourse can be applied to both modes. The difference between the forms of narration and discourse in heterodiegetic and homodiegetic texts is that the conscious and authorial narration in homodiegetic texts are not ascribed the text itself but the first person. This means that, on an overall level, the first person narrative is character discourse, but within this discourse, the first person uses the different forms of narration and discourse in order to inform the reader about, what we in ordinary speech would categorize as non-verbal circumstances. This can be illustrated in the following model:



The connection between the first level of character discourse and the four forms of narration and discourse can be more or less explicit in the narrative:

Ere introducing the scrivener, as he first appeared to me, it is fit I make some mention of myself, my *employées*, my business, my chambers, and general surroundings; because some such description is indispensable to an adequate understanding of the chief character about to be presented (Melville “Bartleby the Scrivener, A Story of Wall Street” (1853): 7)

In this story the first person is explicating its own role as mediator between the story and the reader. However, this is not always as clearly indicated as is the case in Melville’s story. This becomes apparent when we approach a short story like “Collage”, written by Michael Clifford:

Beautiful and virtuous ladies drifted lightly in their long dresses over the dewy grass. They were singing gaily to each other as they went, while the sun was watching, poised like an eye in the mist above the bushy flowers. Some of these they plucked as they passed by, and with them they wove each other garlands for their hair. On the warmest days he could be seen rapidly shuffling along sunburnt suburban streets, unshaven and white, staring and unseeing, always carrying a neatly folded newspaper. He usually wore a green striped shirt hanging outside long, very long pyjama trousers. His naked feet seemed to hold his old leather sandals together by the toes. He went nowhere and returned to anonymity at nightfall (1978: 68)

In this opening there are no first person pronouns. The text is highly evaluative and is thus at first reading easily determined as heterodiegetic evaluative authorial narration. If we continue the reading we find the following statement:

Central division of the picture surface is a device often seen in the world of American artists of the period. Problems of symmetry frequently occur in modern painting. Here the division is used

for psychological reasons as much as for design, separating the victor from the vanquished (1978: 68)

The first two lines describe the external circumstances generating external authorial narration, whereas the last sentence provides a story internal interpretation of the function of the division, and must therefore be categorized as evaluative authorial narration. This can be substantiated by the change of tense from past to present. The story continues to alternate between interpretations of the montage and evaluations of the characters.

More than halfway through the story, we suddenly learn that what seemed to be a heterodiegetic form is in fact homodiegetic:

He was a writer and teacher. Delivering his past to his friends without concern for time, events of his life crowded into his present to make him seem more vital than his years allowed. Like most of us but more obviously than most, he was collected fragments of other people's lives, and he was also a namedropper, a fringe man. His timid ebullience bounced him back to youth and endeared him to his friends. We all condescended to like him (1978: 69-70)

Here the reader makes the first encounter with the first person⁹⁹. This means that what we so far have examined as heterodiegetic authorial narration emerging from the text itself, now must be reinterpreted as discourse emanating from the first person. This does not, however, seem to cause any problems in relation to the determination of the form of narration; the text excerpts examined as descriptive authorial narration can still be considered descriptive authorial narration, despite the fact that the text is homodiegetic rather than heterodiegetic. The evaluation markers in evaluative authorial narration are only effected in the sense that they now can be traced to the absent first person pronoun. We now have a situation of evaluation emerging from an absent character – a situation we have referred to as 'reflectorization'. This form of narration is thus easily applied to homodiegetic texts, and will be referred to as 'homodiegetic reflectorization'.

Let us now turn to another short story by Barthelme titled "The Catechist" (1987):

⁹⁹ In this homodiegetic authorial passage, the enunciation subject narrates about other characters, the setting and external knowledge. This is the basic form of homodiegetic narration, according to Genette's terms. The enunciation subject may, however, also use the authorial form to narrate about events experienced by itself that happened in the past – what Genette refers to as 'autodiegetic' (1983: 245). Here the 'I' is the centre of the story, or what Genette describes as the 'hero'. The function of both the homodiegetic and the autodiegetic form is the same: the reader is being informed about prior events which have an effect on the way in which we perceive the present situation.

In the evenings, usually, the catechist approaches.

“Where have you been?” he asks.

“In the park,” I say.

The catechist is holding a book. He reads aloud: “*The chief reason for Christ’s coming was to manifest and teach God’s love for us. Here the catechist should find the focal point of his instruction.*” On the word “manifest” the catechist places the tip of his right forefinger upon the tip of his left thumb, and on the word “teach” the catechist places the tip of his right forefinger upon his left forefinger.

Then he says: “And the others?”

I say: “Abusing the mothers.”

“The guards?”

“Yes. As usual.”

The catechist reaches into his pocket and produces a newspaper clipping. “Have you heard the news?” he asks.

“No,” I say (Barthelme “The Catechist” (1989 (1987): 181)

In this opening the story almost seems to function as a heterodiegetic narrative. A large number of the sentences provide the reader with information regarding the outer behaviour of a third person character in the narrative:

- In the evenings, usually, the catechist approaches.
- The catechist is holding a book.
- On the word “manifest” the catechist places the tip of his right forefinger upon the tip of his left thumb, and on the word “teach” the catechist places the tip of his right forefinger upon his left forefinger.
- The catechist reaches into his pocket and produces a newspaper clipping. “Have you heard the news?” he asks.

Taken out of context, there are no indications of whether these sentences are mediated in a homodiegetic or a heterodiegetic text. The form and function is the same: the sentences serve to provide the reader with information about the setting or the behaviour of a specific character – a form we refer to as authorial narration. Again we can conclude that the forms of narration and discourse are easily applied to homodiegetic texts. In the same passage we find the following utterances:

- “Where have you been?” he asks.
- “In the park,” I say.

- Then he says: “And the others?”
- I say: “Abusing the mothers.”
- “No,” I say¹⁰⁰

This dialogue is cut to the bone. There are no evaluations only information about who says what. The two utterances “The guards?” and “Yes. As usual.” are not introduced by an inquit, like the ones listed above, and must therefore be considered as character discourse. This form is used repeatedly in the text:

I say: “Wrote another letter.”
 “And you mailed the letter?”
 “As before.”
 “The same mailbox?”
 “Yes.”
 “You remembered to put a stamp—“
 “At twenty-two-cent Frilled Dogwinkle.”
 I think: When I was young they asked other questions (Ibid.: 182)

In the text, character discourse is always initiated by sentences written in authorial narration (“I say”) in order to inform the reader about who is speaking when:

I say: “I have suggested to her that I might change my profession.”
 “Have you had an offer?”
 “A feeler.”
 “From whom?”
 “General Foods.”
 “How did she respond?”
 “A chill fell upon the conversation.”
 “But you pointed out—“
 “I pointed out that although things were loosening up it would doubtless be a long time before priests were permitted to marry.” (Ibid.: 183-4)

¹⁰⁰ Cohn refers to inquit involving the first person as ‘self-quoted monologue’ (1983: 161). In this work I do not distinguish between third person and first person inquit. Both forms are considered character narration.

As in heterodiegetic texts, the employment of character discourse has the effect of providing the reader with a more immediate access to the conversation between the characters, freed from the level of narration.

It is important to note, that the sentences written as authorial narration in Clifford's story only convey outer relations. According to the inquirers, the third person always says or reads something out loud, whereas the first person both thinks and talks:

I think: When I was young they asked other questions.
He says: "Tell me about her."
I say: "She has dark hair." (Ibid.: 182)

The form of narration alternates between character narration, providing inner feelings ('I think'), and character narration providing external observations ('He says').

So far we can conclude that in homodiegetic texts, there will always be a subject of utterance to hold responsible for evaluations and descriptions. The examinations have shown that the forms of narration and discourse are applicable and a useful tool to describe the various functions we as readers encounter in homodiegetic texts. The only difference between forms of narration and discourse in the heterodiegetic and homodiegetic forms is the I-Origo of authorial and conscious narration. The close relationship between the two forms of narration and discourse, is especially conspicuous in stories like "Collage" where the first person pronoun only is introduced halfway through the text. This means, for example, that the descriptive authorial narration form in homodiegetic and heterodiegetic texts only can be distinguished by the presence of the 'I'. The forms of narration and discourse employed are identical.

As in heterodiegetic texts, the different forms of narration and discourse can be more or less dominant in homodiegetic narrative texts. Consider the opening of Barthelme's short story "The Sergeant" (1976 (1970):

The orderly looked at the paper and said, There's nothing wrong with this. Take it to room 400.
I said, Wait a minute.
The orderly looked at me. I said, Room 400.
I said something about a lawyer.
He got to his feet. You know what that is? he asked, pointing to an M.P. in the hall.
I said yes, I remembered.
O.K. Room 400. Take this with you.
He handed me the paper.

I thought, They'll figure it out sooner or later. And: The doctor will tell them.
The doctor said, Hello, young trooper (Barthelme 1976 (1970): 69)

Here the two dominant forms of narration and discourse are the descriptive authorial form and character discourse. There are no evaluation markers in the descriptions of the orderly, and if we compare the paragraph with the following excerpt from "A Cheerful Temper", the difference in form becomes even more conspicuous:

From my father I received the best inheritance, namely a "good temper." "And who was my father?" That has nothing to do with the good temper; but I will say he was lively, good-looking round, and fat; he was both in appearance and character a complete contradiction to his profession. "And pray what was his profession and his standing in respectable society?" Well, perhaps, if in the beginning of a book these were written and printed, many, when they read it, would lay the book down and say, "It seems to me a very miserable title, I don't like things of this sort." And yet my father was not a skin-dresser nor an executioner; on the contrary, his employment placed him at the head of the grandest people of the town, and it was his place by right. He had to precede the bishop, and even the princes of the blood; he always went first,—he was a hearse driver! (Andersen, "A Cheerful Temper" 1984 (1852): 372)¹⁰¹

In this evaluative authorial narration, the first person provides a highly evaluative description of himself and his father. The difference between the two excerpts can be put side by side with the different forms of narration and discourse identified in Hans Christian Andersen's "Little Tiny" and "The Gardener and the Manor". Here the story of Little Tiny was highly evaluative in contrast to the latter.

If we consider the homodiegetic descriptive authorial narration and homodiegetic character narration involving the third person, the similarity between these forms of narration and heterodiegetic narration becomes striking: there are simply no differences on the textual level between the two forms of narration. Thus when the two forms of narration and discourse are employed in homodiegetic narratives, the text basically functions as a heterodiegetic text:

¹⁰¹ Efter min Fader har jeg faaet den bedste Arvepart, jeg har faaet et godt Humeur. Og hvem var min Fader? Ja, det komme? nu ikke Humeuret ved! han var livlig og trivelig, feed og rund, hans Ydre og Indre ganske i Strid med hans Embede. Og hvad var hans Embede, hans Stilling i Samfundet? Ja, skulde det skrives ned og trykkes lige i Begyndelsen af en Bog, saa er det rimeligt at flere, naar de læste det, lagde Bogen tilside og sagde, det seer mig saa uhyggeligt ud, jeg skal ikke have af den Slags. Og dog var min Fader hverken Rakker eller Skarpretter, tvertimod, hans Embede bragte ham tidt i Spidsen for Stadens allerhæderligste Mænd, og han var der ganske i sin Eet, ganske paa sin Plads; han maatte være forrest, foran Bispen, foran Prindser af Blodet - og han var forrest - - han var Ligvogns-Kudsk! (H. C. Andersen "Et godt Humeur" 1964 (1952): 238)

Deictic Category (D)				
Role of communication (C)	I/we (D1)	You (D2)	He/she/it (D3)	You/one (D0)
Enunciation subject (C1)	1. Basic form C1:D1	C1:D2	C1:D3	C1:D0
Addressee (C2)	C2:D1	2. Basic form C2:D2	C2:D3	C2:D0
Subject of Utterance (C3)	C3:D1	C3:D2	3. Basic form C3:D3	C3:D0

So far, we have seen how authorial narration, character narration and character discourse can be identified in homodiegetic texts. There are, however, one form and one variation which we have not touched upon yet, and that is conscious narration and free character narration. As pointed out by Nielsen in his article on the impersonal voice, free indirect discourse is not only a construct belonging to heterodiegetic texts. Cohn explains this use of free indirect discourse in homodiegetic texts as self-narrated monologue. She bases her observations on the following passage:

We stood thus for a second paralysed. Then I pulled myself roughly out of the embrace. It could be Antonia. She had changed her mind about going to the country, and had decided to come and look the furniture over before our interview tomorrow (Murdoch, *A Severed Head* 1970: 85)

As Cohn rightly observes, the last sentence shares the form of a narrative statement, but can only be the quotation of a thought of the moment (Cohn 1983 (1978): 166). Thus rather than talking about two voices that merge, as in Pascal's definition of the dual voice, free character discourse, is according to my terminology, a combination of authorial and character narration. This explanation can easily be transferred to homodiegetic texts.

In Murdoch's text, the narrator wrongly thinks his wife is coming. As mentioned above, this is mediated through free character narration. However, this information could also have been mediated through conscious narration. Comments like 'At the time, I thought it was Antonia' or 'I did not know at that time that Antonia was at a very different place' would have generated conscious narration, since they reveal a superior knowledge of the situation. The fact that the conclusion of the narrator is wrong, is not indicated in the original free indirect discourse.

8.2 Syntactic Markedness in Homodiegetic Narrative Texts

As illustrated above, the subject of utterance may be more or less dominant in homodiegetic texts. In some texts the very first word (as in “I am not altogether sympathetic to the new President” (Barthelme 1982 (1968): 59)), or maybe even the title (“For I’m the boy” (Barthelme 1964)), indicates that the text is homodiegetic. In other texts the first person pronoun may first appear after a few sentences, paragraphs or pages, as in Clifford’s “Collage”. In “The Catechist” the reader was constantly reminded of the homodiegetic form, since the ‘I’ was employed in most sentences. We also saw how the exclusion of the ‘I’ – and thus the exclusion of character narration – in certain parts of the text was superseded by authorial narration. If we turn to another short story, “Aria” (1981), also written by Barthelme, we see another example of a story where the first person pronoun does not appear as often. This does not, however, result in the use of the authorial form. When considering the syntax of the text we realize that what at first seemed to be authorial narration or character narration is in fact pure character discourse. In the following analysis we will examine how this character discourse is established in the text on the linguistic level, and see how the structure effects the meaning.

“Aria” is a parent’s monologue revealing a parent’s contemplation of the life of the children. The fact that it is a monologue is substantiated by the noun ‘Aria’, which is defined as an elaborate song for solo voice (Judy 1999: 71). This definition is closely related to the ways in which we perceive texts written in the first person; here the ‘I’ is the speaker, or ‘solo voice’, but may allow for other characters to obtain the subject position by employing a proper noun or the third person pronoun functioning as the subject of enunciation. The ‘I’ is thus implicitly present in all sentences and considered as given information (unless interrupted by heterodiegetic forms as we saw in Ellis’ story); whenever the subject position is obtained by any other pronoun than the ‘I’, we as readers assume that it is the ‘I’ who is narrating. Hence the narrating subject is more or less superfluous when the ‘I’ is thinking or narrating about itself. This is an important point to carry along in the reading of “Aria”, since this text is characteristic of omitting the subject position in the sentences:

Do they live? Fervently. Do they steal? Only silver and gold. Do they remember? I am in constant touch. Hardly a day passes. The children. Some can’t spell, still. Took a walk in the light-manufacturing district, where everything’s been converted. Lots of little shops, wine bars. Saw some strange things. Saw a group of square steel plates arranged on a floor. Very interesting. Saw a Man Mountain Dean dressed in heavenly blue. Wild, chewing children. They were small. Petite. Out of scale. They came and went. Doors banging. They were of different sexes but wore similar clothes. Wandered away, then they wandered back. They’re vague, you know, they tell you things in a vague way. Asked me to leave, said they’d had enough. Enough of what? I asked. Enough of my lip, they said. Although the truth was that I had visited upon them only the palest of apothegm

– the one about the salt losing its savor, the one about the fowls of the air. Went for a walk, whistling. Saw a throne in a window (1993 (1981): 386).

If we approach this excerpt from a syntactic level, many of the sentences are incomplete; in some utterances the subject ('Saw some strange things') or the predicator ('The children') is missing whereas others contain neither a subject nor a predicator ('Very interesting'). The incompleteness is occasioned by a deviation of the standard sentence patterns listed in Chapter 7. In order to complete the otherwise incomplete sentences in "Aria", the reader grasps the explicit 'I' in the sentence 'I am in constant touch', carries it along in the further reading, and inserts it in the subsequent sentences. This omission of constituents seems to convey a more direct access to the mind of the subject, and the reader is thereby able to get in 'constant touch' with the impressions imposed along with the subject. This 'constant touch' is thus established through character discourse in the first part of the passage, since the inquirers ("I asked" or "they said") generating character narration, only appear in the last part. The first part could be considered evaluative authorial narration. However, this part does not serve to inform the reader about the circumstances in which the story is carried out. What we are witnessing is rather a brainstorm where all the thoughts of the first person are being let out. This is reflected in the many incomplete sentences.

The narration is thus set in motion when predicators and lighter subjects, such as existential subjects, are omitted. In the sentence 'Lots of little shops, wine bars' the constituents missing are the existential markers 'There were'. The omission of this particular construction is again causing a markedness of the form which grounds a more direct access to the inner thoughts of the subject, generating character discourse. We find the same structures in the following utterances where the omitted parts are inserted in parentheses:

(It was) Very interesting.
(There were) Wild chewing children.
(They were) Petite.
(They were) Out of scale.

The last two utterances 'Petite. Out of scale' are of particular interest. The subject is traced back to the children since they are the last mentioned subject: 'Wild, chewing children. They were small. Petite. Out of scale. They came and went'. Both complements can be considered an elaboration of the smallness of the children. By isolating the subject complements and providing them with their

own utterances, the words are given more prominence than if they had been linked by the coordinating conjunction 'and' which is the case in the following objective sentence: 'They came and went'. In this sentence the single words in the coordinated verb group are given less prominence than if they had been constituted as two isolated utterances where the full stop inevitably forces the reader to pause. Hence the shorter the period the more attention to the individual units. The short sentences also produce an oral effect in the language. This accentuation of certain conjoints is a marked pattern; the reader is implicitly told to pay extra attention to these specific utterances.

We find a similar structure in the utterance 'The children'. The text opens with three questions posed by the enunciation subject: 'Do they lie?', 'Do they steal?' and 'Do they remember?'. The semantic contents of the deictic marker 'they' is provided in the utterance 'The children'. The fact that the children receive their own utterance adds prominence to this particular noun group, and prepares the reader for an elaboration of this constituent. The elaboration constitutes the rest of the text and can thus be considered the overall theme. Thus, whenever the deictic marker 'they' is employed the reader traces it back to the children. The emphasis on the children is furthermore brought about by the sound scheme in 'chewing children'. The repetition of the initial sound not only causes markedness but also has a poetic effect – an effect employed repeatedly in the text which I will return to.

The utterance pattern consisting of a noun group is also employed at a later point in the text. The enunciation subject changes the topic of the text from the children to one particular child, namely the son:

Sometimes they drift in from the Yokon and other far places, come in and sit down at the kitchen table, want a glass of milk and a peanut-butter-and-jelly, I oblige, soccer teams, they are all named after cars, the Mustangs vs. the Mavericks, the Chargers vs. the Impalas. Something funny about that. My son. Slept with What's-Her-Name, they said, while she was asleep, I don't think that's fair (Ibid. 387)

Here 'My son' is accentuated as it constitutes a full utterance. By providing the two noun groups 'The children' and 'My son' with separate utterances they end up constituting the Theme of the paragraphs in question. The remaining paragraphs can thus be considered as Rhemes¹⁰².

¹⁰² The theme is the starting-point for the sentence (i.e. the theme) containing familiar information, whereas Rheme carries the new information of the sentence (see Halliday 1994 (1985): 37-39)

As previously mentioned, the children constitute the over-all theme of the narrative. This may be substantiated if we take a look at the way in which the two Rhemes intertwine:

My son. Slept with What's-Her-Name, they said, while she was asleep, I don't think that's fair. Prone and helpless in the glare of the headlights. They went away, then they came back, at Christmas and Eastertide, had quite a full table, maybe a dozen in all including all the little. . . partners they'd picked up on their travels . . . Snatch them baldheaded, slap their teeth out. Little starved faces four feet from the screen, you'd speak to them in a loud commanding voice, get not even a twitch. Use of the preemptive splint, not everyone knows about it. The world reminds us of its power, again and again and again. Going along minding your own business, and suddenly an act of God, right there in front of you. Great falls of snow and bursting birds. Getting guilty, letting it all slide. Sown here and there like little...petunias, oneplanted in Old Lyme, one in Fairbanks, one in Tempe. Alleged that he slept with her while she was asleep, I can see it, under certain circumstances. You may wink, but bit at another person. You may wink only at pigeons. You may pound in your tent pegs, pitch your tent, gather wood for the fire, form the hush puppies. They seek to return? Back to the nest? The warm arms? The ineffable smells? Not on your tintype. Well, I think that is a little harsh. Think that's a little harsh do you? Yes I think that's a little harsh. Think that's a little harsh do you? Yes, harsh. Harsh. Well that's a sketch. That is, that's a tin-plated sketch – They write and telephone. Short of cash? Give us a call, all inquires handled with the utmost confidentiality. They call constantly, they're calling still, saying *williwaw*, *williwaw*- (387)

In the paragraphs above the Theme 'My son' is introduced and followed by a Rheme 'Slept with...'. In the fourth sentence this Rheme is superseded by the Rheme of the main theme i.e. the children ('They went away...'), only to be reintroduced in the sentence 'Alleged that he slept with her...'. The rupture of the Rheme may indicate that the enunciation subject is having a hard time relating to the rumour that the son has had sexual intercourse with a girl while she was asleep. Or the blending of the Rhemes may just be considered a result of the enunciation subject's mind drifting between the two themes substantiating the reading of the text as a flow of the enunciation subject's mind.

Whether one chooses one reading or the other, it is almost impossible to ignore the aggressive tone of the voice in this part of the text, where the pace seems to increase from word to word, mirroring the enunciation subject's hysteric condition. The expression 'Snatch them baldheaded' may be interpreted as the process of birth: the father catches the bald children at the birth – a very dramatic and unglamorous description. The rough terms 'snatch' and 'baldheaded' are followed by yet another forceful term, namely 'slap' in 'slap their teeth out', referring to the children losing their first set of teeth. The roughness in the description of child development is sustained on the level of syntax in the following sentence by the employment of sound schemes: 'Little starved faces four

feet from the screen'. The alliteration reinforces the aggressive tone produced in the proceeding sentences as it adds extra prominence to each single word; all words are now stressed except for the dependent article 'the'. The emotional influence on the language is also sustained by the pseudo-coordination 'again and again and again', and this indicates a feeling of endlessness. The next sentences are also strongly accentuated:

Going along minding your own business, and suddenly an act of God, right there in front of you. Great falls of snow and bursting birds. Getting guilty, letting it all slide. Sown here and there like little...petunias, one in planted in Old Lyme, one in Fairbanks, one in Tempe (387 – my emphasis)

The sound schemes in the few sentences above are ample, and it should be mentioned that the comparison 'like little...petunias' is also contributing to this poetic effect. The 'bursting birds' are a clear picture of the children eventually finding their way back to the nest ("Back to the nest?"). The many poetic effects in these sentences cause a drastic contrast in the next sentence, where we only find a single alliteration "Alleged that he slept with her while she was asleep, I can see it, under certain circumstances". This is, however, not the only deviation we can find in this sentence when comparing it to the preceding sentences: the sentence is also complete. One could argue that this is a thought-through utterance expressed through authorial narration, whereas the preceding utterances express the speaker's flow of thoughts releasing the anger or bitterness through character discourse. If we continue the reading we find another complete sentence: "I walked to the end of my rope" (387). The enunciation subject serves the reader with information of descriptive circumstances. Again we see a complete sentence employed in authorial narration. The authorial narration is only sustained in very few sentences. If we return to the paragraph quoted above, we see that the next sentences follow the poetic style characteristic of the previous sentences in that they employ anaphor (You may...You may...You may) and alliteration:

You may wink, but bit at another person. You may wink only at pigeons. You may pound in your tent pegs, pitch your tent, gather wood for the fire, form the hush puppies (387 – my emphasis)

The climax is immanent since the speaker asks questions and one is even repeated several times:

They seek to return? Back to the nest? The warm arms? The ineffable smells? Not on your tintype. Well, I think that is a little harsh. Think that's a little harsh do you? Yes I think that's a little harsh. Think that's a little harsh do you? Yes, harsh. Harsh. Well that's a sketch. That is, that's a tin-plated sketch – They write and telephone. Short of cash? Give us a call, all inquires handled with the utmost confidentiality. They call constantly, they're calling still, saying *williwaw, williwaw*- (387 – my own underlining)

Again we find one semantic unit contributing to the aggressive style mentioned previously since 'harsh' is repeated six times. There is thus a clear cooperation between syntactic and lexical relations. The climax is reached when the speaker expresses the continuous load the children are exposing to their parents. Again we find what we previously have referred to as 'endlessness' functioning as one of the primary aversions of the speaker. This is also to be found in the next section of the text, where the aggressive tone subsides. In order to reach an overall interpretation of the text from a syntactic level we will now turn to the sentence patterns of the last part of the text. This will serve also to throw more light on the paragraphs just examined.

The sentences analysed in the first part of the text are all based on the declarative sentence form (S P O) but lack the subject or the whole nexus ((P) O). When the declarative sentence is reduced to a P O pattern it shares the same structure as the standard imperative sentence. In some texts the two structures are easily confounded. Consider the following extract:

Throw their wet and stinking parkas on the floor as per usual. Turn on the music and turn it off again. Clean your room, please clean your room, I beg of you, clean your room. There's a long tall Sally, polish her shoes. Polish your own shoes, black for black and brown for brown (388 – my emphasis)

Whether the first two sentences are declarative or imperative sentences is indeterminable from a syntactic point of view. However, if we consider the semantics of the text it seems more reasonable to interpret these two sentences as declaratives. This is also substantiated by the cohesive relation with 'they' in the preceding sentence 'Things they needed for their lives'. The third sentence 'Clean your room' follows the same sentence pattern as the two previous sentences (P O) but the possessive pronoun 'your' calls for the imperative. This is substantiated in the subsequent sentences 'please clean your room, I beg...' where 'please' evokes a request and 'I beg' makes it even more explicit. If we neglect to take the semantic level into consideration the two sentence structures seem to merge together in the sentences above.

Although there seems to be a close relation between the two sentence structures they appear to deviate on a more functional level; the declarative is typically employed in order to make a statement whereas the imperative mainly expresses a command. If we consider this in relation to the contents of the story it is interesting to note that the declarative is the dominating sentence type in the first two thirds of the text. This part is thus mainly statements about the behaviour of the children or descriptions of the enunciation subject's actions. In the last part of the text we find an alternation between the declarative and the imperative forms. The commands expressed in the imperatives are all directives directed at the children:

Clean your room, please clean your room, I beg of you, clean your room (p. 388)

polish her shoes (Ibid.)

Polish your own shoes (Ibid.)

complete your education (Ibid.)

attain it (Ibid.)

turn a little to the right, now a little to the left, *hold it!* (Ibid.)

don't scratch (Ibid.)

pick up your feet (Ibid.)

Here the enunciation subject talks to the children in the 'commanding voice' earlier depicted ("you'd speak to them in a loud, commanding voice"(p. 387)). It is interesting to note that the imperative is employed when the enunciation subject claims to be testing a system. Since a system is controlled by commands we can examine the children as being part of the system; the enunciation subject attempts to operate the children by giving them different commands. The enunciation subject is also, however, part of the system. This is conspicuous if we turn to the following passage:

I never stopped to think about it, just went ahead and did it, it was a process, had one and then took care of that one and had another and then took care of the two, the other followed, and now these in turn make more and more and more. . . .(387)

Here the enunciation subject presents the experience of bringing children into the world and receiving grandchildren as a process of the system. The pseudo-coordination ‘more and more and more. . .’ furthermore indicates that the process is continuous or endless, as previously mentioned. It is thus not only the children who behave according to the system; the enunciation subject is just as much a part of the system as the children are. This is also evident in the following extract:

They write and telephone. Short of cash? Give us a call, all inquiries handled with the utmost confidentiality. They call constantly, they’re calling still, saying *williwaw*, *williwaw* (387)

The language in the question (‘Short of cash?’) and response (‘Give us a call...’) is closely related to language employed in commercials and adds since these often employ real life communication. There is also a sense of logic: if X then Y. So if ‘short of cash’ then ‘give us a call’. A system is built up around such logical structures. By employing language of non-fiction, Barthelme enables himself to comment ironically on the commercial world. At the same time there is a sharp contrast between the poetic language employed in the preceding sentences and this language of non-fiction.

The enunciation subject considers all actions, whether it is the children’s or its own, as an on-going process determined by the system. But who or what constitutes this so-called system? The answer is to be found in the following passage:

The world reminds us of its power, again and again and again. Going along minding your own business, and suddenly an act of God, right there in front of you. Great falls of snow and bursting birds. Getting guilty, letting it all slide. Sown here and there like little . . . petunias, one planted in Old Lyme, one in Fairbanks, one in Tempe (387)

The world is personalized and ascribed power. God is part of the world and is capable of changing not only outer relations but also feelings like guilt. The system is thus constituted and controlled by the world.

In the observations made so far, markedness is situated in the initial position of the sentence structure through omissions. If we turn to the following sentence we find yet another constituent position construing markedness, namely the position of the coordinator:

Hardly a day passes without an announcement of some kind, a marriage, a pregnancy, a cancer, a rebirth (386-7)

The conjoints in the last part of the sentence are packed together since the ‘announcements’ are juxtaposed in the extra-position without being linked with an overt coordinator. This generates a juxtaposition of the four conjoints on the semantic level accordingly; marriage, pregnancy, cancer and rebirth are all provided with equal focus. In the standard coordinate sentence the last two conjoints are normally separated by a coordinator. By omitting this coordinator the list of announcements seems to be an ongoing process like the one emphasized in the pseudo-coordination above. On the other hand, if each unit had been separated with the coordinator ‘or’ the single conjoints would have been given extra prominence:

Hardly a day passes without an announcement of some kind, a marriage or a pregnancy or a cancer or a rebirth

If we follow the style of Barthelme we can even imagine the following structure:

Hardly a day passes without an announcement of some kind. A marriage. A pregnancy. A cancer.
A rebirth.

The fact that the conjoints are juxtaposed and not arranged as the two alternative fictive examples constructed above seems to bring about a sense of triviality; the enunciation subject appears almost indifferent to whether it is one event or the other which is being announced; they all cause the same amount of disorder to the system. Thus markedness is not only a question of accentuation but may also establish an understatement as is the case in the original sentence, where the omission of the coordinator substantiates the speaker’s perception of the ‘announcements’ as everyday events or processes (‘Hardly a day passes...’).

8.3 Preliminary Summary

To sum, the examination of “Aria” has shown that the level of syntax is set into play to an extreme extent in “Aria” by a number of different linguistic effects causing a change of narration. A large number of the sentences are incomplete, reflecting the mind of the enunciation subject. In these passages of character discourse the enunciation subject is “neither analyzing or generalizing, he

simply records the inner happenings, juxtaposing them in incongruous succession” (Cohn 1983 (1978): 156). This quote is taken from Cohn’s *Transparent Mind* (1978), in her examination of Hamsun’s *Hunger*, where she identifies the enunciation subject’s hunger in the structure. It is the same form which is applied in “Aria”. In both texts, the enunciation subject gives vent to its emotions. This is as close as we get to immediacy in homodiegetic narration.

The level of syntax is vital in order to understand the story. The examination of the syntactic structures in the text has given access to the meaning of the story and revealed what otherwise would have been hidden meaning. The syntactic structures also reveal the shift from character discourse to authorial narration.

Only few texts involve such a strong degree of markedness on the level of syntax. There is, however, a strong tendency, especially in realistic writings, to diverge from the syntactic norm in single passages in order to obtain extra focus or change of focalization – what Genette refers to as ‘variable focalization’ (1980: 189). A shift in tense is one way of obtaining this change on the level of syntax, as we saw in “Aria”. This is also employed in a text like *Mrs. Dalloway*. The markedness on the level of syntax is also characteristic of writers such as Gertrude Stein (see for example *Tender Buttons* (1914)), Samuel Beckett (“Lessness” (1969), “Ping” (1966)) or the Danish writers Hans Otto Jørgensen (*Riggo havde ikke noget imod det abstrakte* (1997)).

If we turn to other homodiegetic texts, we find yet different kinds of deviations than those located in the analysis of “Aria”. Consider the opening of *Nothing: A Preliminary Account* (Barthelme 1993)

It is not the yellow curtains. Nor curtain rings. Nor is it bran in a bucket, not bran, nor is it the large, reddish farm animal eating the bran from the bucket, the man who placed the bran in the bucket, his wife, or the raisin-faced banker who’s about to foreclose on the farm. None of these is nothing. A damselfish is not nothing, it’s a fish, a *Pomacentrus*, it likes warm water, coral reefs- perhaps even itself, for all we know. Nothing is not a nightshirt or a ninnyhammer, ninety-two, or Nineveh. It is not a small jungle in which, near a river, a stone table has been covered with fruit. It is not the handsome Indian woman standing next to the stone table holding the blond, kidnapped child (245)

The opening of this text is remarkable in several ways. The deictic marker ‘it’ refers anaphorically back to the title ‘Nothing’, and the consistent use of the negative openers accentuates the form. Another kind of markedness is employed in the short story “Alice” (Barthelme 1982) where the opening goes as follows:

twirling around on my piano stool my head begins to swim my head begins to swim twirling
around on my piano stool twirling around on my piano stool a dizzy spell eventuates twirling
around on my piano stool I begin to feel dizzy twirling around on my piano stool (68)

The lack of the capital 't' in 'twirling', the omission of commas and periods and the repeated descriptions all contribute to a marked form. The function of the form is to evoke a feeling of the character's state of mind in the reader.

Chapter 9

Forms of Narration and Discourse in Second Person Narrative Fiction

9.1 The Applicability of Forms of Narration and Discourse in Second Person Narrative Fiction

In the previous chapters we have seen how forms of narration and discourse are creating meaning in heterodiegetic and homodiegetic narratives. By approaching the two modes from a linguistic level, the communicative subjects have been replaced by forms of narration and discourse, and this has enabled a better understanding of the ways in which meaning is communicated to the reader. We will now turn to second person narrative texts and see whether this mode can profit from a linguistic examination.

It has recently been pointed out (see Fludernik (1993: 220), (1994c: 446), (1996: 247); Richardson (1991: 320)), that the second person pronoun may not only refer to a narratee, but is also capable of addressing the narrator itself as self-address. This has led to a valid rejection of the classification of second person narrative as part of the heterodiegetic form as proposed by Genette (1983: 92-3). By expanding Genette's terminology and aligning herself with Stanzel's theory Fludernik distinguishes between "narratives in which participants on the communicative level (narrators, narratees) also function as protagonists (the homocommunicative realm) and those in which the world of the narration is disjoined from that of the fictional world (the heterocommunicative realm)" (Fludernik 1994c: 446). This distinction enables an examination of the enunciation subject as well as the narratee, and can be narrowed down to the schema illustrated on p. 59. In the basic second person form of narration, the 'you' refers to the narratee of the story. What Fludernik's two terms 'homocommunicative' and 'heterocommunicative' point at, is the multifunction of the second person pronoun. This means that, apart from the basic form, second person narration may also function as (C1:D2) and (C3:D2) without any difficulties:

Deictic Category (D)				
Role of communication (C)	I/we (D1)	You (D2)	He/she/it (D3)	You/one (D0)
Enunciation subject (C1)	1. Basic form C1:D1	C1:D2	C1:D3	C1,2,3:D0
Addressee (C2)	C2:D1	2. Basic form C2:D2	C2:D3	
Subject of Utterance (C3)	C3:D1	C3:D2	3. Basic form C3:D3	

By considering the deictic category D2 and D0 in relation to the three subjects (enunciation subject, addressee and subject of utterance), the many ways in which second person narratives can be realized become apparent¹⁰³. When functioning as enunciation subject the second person narrative is homodiegetic, and when functioning as subject of utterance or addressee the narrative is heterodiegetic. The heterodiegetic form is thus only one of two possible forms.

Moreover, in the last column we see that the you also may address a non-specific person through the more generalized 'you' in the D0 category¹⁰⁴:

The boy rose early, and tried to part his hair. [. . .] If you don't get your part right you get all cockies up the back (Gasmire, 1990: 179 – quoted in Schofield 1998)

The last sentence is written in gnomic present tense and is thus external authorial narration. The 'you' is consequently a non-specific 'you' referring to man in general. In the examination of homodiegetic and heterodiegetic narration, we saw how the forms of narration and discourse emerge from either the enunciation subject (homodiegetic narration (C1:D1)) or the subject of utterance (heterodiegetic narration (C3:D3)). The observations above indicate that second person narration deviates from these two forms in that all four subjects in the schema above (C1, C2, C3 and D0) may function as starting point. In the following excerpt the 'you' functioning as enunciation subject and the 'you' functioning as subject of utterance are both present:

You were at a party when your father died – and immediately you were told, a miracle happened. A real miracle. It didn't last, of course, but was convincing enough for a few moments. Then, an hour later, you took a girl home and forced her to make love. You held on to her as she cried and pleaded with you: even now her tears are still the nearest you have come to feeling grief at your father's death. You are thirty-four years old; everything that has ever happened to you is still happening (Butlin 2002 (1987): 1)

¹⁰³ The different forms have also been recognized by Herman who terms the addressee 'the apostrophic address', the subject of utterance is the fictionalized address, according to Herman's terms, and the enunciation subject is 'the fictional reference' (Herman 1994: 381)

¹⁰⁴ Fludernik identifies this form in *The Volcano Lover* (Sontag 1992) and describes it as "passages employing the second-person pronoun in the generalized meaning of "you", "one"" (Fludernik 1994: 282-3). The term 'generalized you' is employed by Fludernik (1994: 282-3) and Herman (Herman in Fludernik 1994: 381).

In this opening the enunciation subject and the subject of utterance are identical, only separated by time. The enunciation subject 'you' is telling about its younger 'you'. The former is thus the enunciator. In the story there is a clear enunciation subject which becomes apparent in the closing of the story where the enunciation subject 'you' becomes an 'I', a point I will return to shortly. When the I-Origo emerges from any of the other subjects, what is seen as the narrator on the communicative level becomes implicit and thus vanishes on the linguistic level:

You are stuck in traffic on the way home from work, counting blue cars, and when a blue-metallic Jetta pulls alongside, you count it – twenty-eight. You've seen the driver on other evenings; she looks strikingly like a young man, with dark, almost red hair clipped tight around her head (Frederick Barthelme 1982: 61)

Here the 'you' is a character in the text, i.e. the subject of utterance. There is no enunciation subject in such texts. The only subject we meet is the subject of utterance – a situation we recognize from third person narration. We can thus exchange the 'you' with a third person pronoun without jeopardizing the semantics. The difference between the two modes is one of reader involvement; in second person narratives the reader is invited to identify with the subject of utterance. But from a structural viewpoint, the two modes are almost identical. This means that the narrator on the communicative level is not textually retrievable.

A similar situation is found in the opening of *If on a Winter's Night a Traveler*. Here the reader is being approached directly, but the enunciation subject is still absent:

You are about to begin reading Italo Calvino's new novel, *If on a winter's night a traveler*. Relax. Concentrate. Dispel every other thought. Let the world around you fade. Best to close the door; the TV is always on in the next room (1981 (1979): 3)

Here we find a similar situation as in the closing of Andersen's fairytale "The Saucy Boy": Now you know what a bad boy this wicked Cupid is" (Andersen 1984 (1835d): 448). Despite the direct approach, we cannot identify an enunciation subject. The reader is being approached through conscious narration, i.e. a form rather than a subject. The 'you' is thus functioning as the addressee, whereas the enunciation subject is absent.

The enunciation subject is also absent in the sentence quoted from Gasmire's story where the second person pronoun is a generalized 'you'. Again the enunciation subject is absent despite the

presence of a 'you'. To argue that the 'you' implicates an 'I' is not possible on the linguistic level, since the 'I' is not textually manifested. Second person narrative fiction functions like heterodiegetic texts in the sense that there is no 'I' behind the enunciations. This does not, however, mean that there is no enunciation subject functioning as I-Origo. As illustrated above second person narratives deviate from homodiegetic and heterodiegetic narratives in that the second person pronoun is placed in the I-Origo and may function as enunciation subject, subject of utterance, addressee or a general 'you' (D0). In heterodiegetic texts the third person pronoun functioning as subject of utterance is placed in the I-Origo, and in homodiegetic texts it is the 'I' and thus the enunciation subject which is functioning as deictic centre. Second person narratives are thus more flexible.

The absence of the enunciation subject or 'narrator', when speaking in communicative terms, in these three situations seen from a linguistic level has been recognized by some narratologists. After commenting on Margolin's insistence on the narrator, Fludernik claims: "I have noted a great number of second-person texts that have neither a narrator nor a narratee" (1994b: 287). She quotes the following passage to illustrate this narrator-less mode:

And at that grand dinner party celebrating the news of the hero's great victory at Copenhagen...you start to dance the tarantella...Perhaps it is the wine, perhaps it is Fatima's glossy black skin, perhaps it is your elation over Copenhagen and you now dance holding Fatima's sweating black hand – faster, your heart thumping, and your engorged, unmilked breasts bumping against your chest. You have no pretext *now*, you always had a pretext for performing. You are just you. Pure energy, pure defiance, pure foreboding. And you hear the strange cries and screams coming from your mouth, sounds of a most peculiar nature, even you can hear that, and you can see you are creating a scandal, your guests look quite startled. But this is what they wanted. This is what they think of you anyway (Sontag 1992: 350-1)

This excerpt is a clear example of the situation I recognize as a second person pronoun functioning as subject of utterance. Fludernik comments:

There is no traceable narrator's *I* or narrative "voice" (no evaluations, predictions, etc.), nor is there an intrafictional (though extradiegetic) *you* in the here and now of the act of narration: that is, an addressee to whom the story is being told[...]the text renders what must be the perceptions and impressions of the protagonist. Even in the Sontag passage, where Mrs. Hamilton distances herself from her own actions, this distancing is part of her experience and not an act of narration (1994b: 287-8)

Here Fludernik rejects the voice of the narrator on similar terms as I have done on the linguistic level. Such texts must be examples of what Fludernik refers to as ‘noncommunicative narratives’ (Stanzel’s ‘reflector mode’). In her opposition between heterocommunicative and homocommunicative narratives, the term "communicative" refers to the "communicative circuit between a narrator (or teller-figure in Stanzel's typology) and the immediate addressee or narratee who is at the receiving or interactive end of that communicational frame" (Fludernik, 1994c: 446). Fludernik introduces a third term, ‘noncommunicative narrative’, referring to narratives with no communicative level.

So far we have seen that the second person narration is more flexible in the sense that all subjects may function as the I-Origo. Prince’s definition of second person narrative as “a narrative the NARRATEE of which is the PROTAGONIST in the story s/he is told” (Prince 2003 (1987): 86) is thus far from being adequate. This is simply due to the fact that the second person pronoun may refer to itself, the reader, a character or no one in particular without being marked – what Fludernik refers to as the ‘multifunctionality of the second-person pronoun’ (Fludernik 1994c: 455).

Having cleared the origins of the enunciation in second person narration we will now return to some of the texts quoted above and consider the function of the different text parts, i.e. the forms of narration and discourse. This part of the study has been neglected by Fludernik who mainly focuses on identifying the role of the communicative ‘you’, but refrains from categorizing the different functions of the text parts.

If we return to the quotation from Gasmire, we see that the last sentence functions as external authorial narration; the sentence expresses an eternal truth which explains the obstacles the boy is up against. We can thus speak of ‘second person external authorial narration’.

I will now turn to Butlin's *The Sound of My Voice* (1987) in order to examine whether the remaining forms of narration and discourse also are applicable to second person narratives. In *The Sound of My Voice* the ‘you’ refers to the protagonist, both functioning as enunciation subject (C1:D2) addressing itself as “you” describing its own acts and thoughts, and as the subject of utterance (C3:D2). The story opens as follows:

You were at a party when your father died – and immediately you were told, a miracle happened. A real miracle. It didn’t last, of course, but was convincing enough for a few moments. Then, an hour later, you took a girl home and forced her to make love. You held on to her as she cried and pleaded with you (Butlin 2002 (1987): 1)

In these opening lines we learn about an important event experienced by the protagonist in the past. This information provides the reader with an insight into the past, generating 'second person descriptive authorial narration'. The 'you' functions as the subject of utterance, and this form continues as the story proceeds with a flashback of an episode in the childhood:

Whenever you were driven from the village in your father's car you would look out of the rear window to keep your house--a single-storey cottage--in sight for as long as you could. The road climbed a steep hill, and as more of the village, then the surrounding fields and woods, became visible, you strained to fix your eyes on the white walls of the cottage, trying not to blink nor look aside even for one second. There was never a point when the house actually disappeared, only the sudden realization that it had just done so, as, for a second, though without meaning to, you relaxed your concentration and lost sight of it (Ibid.: 1)

The flashbacks serve to illustrate why the 'you' is lacking emotions in his grown up life. There is thus a close relation between these passages and similar passages written in the third person. This relation is even more conspicuous in the following passage:

She told you about her weekend: a girlfriend round for dinner on Friday; shopping on Saturday – after rather a late start, she admitted with a laugh; the pub and then dancing on Saturday night. She has been your secretary for just over a year now; a very bright girl (Ibid.: 51)

Notice that the last sentence does not serve to inform the subject of utterance about the period of time the secretary has been employed, but is rather a circumstantial information directed at the reader. Thus in the passage the form of narration changes from character narration ('She told you...') to authorial description ('She has been...'), and finally authorial evaluation ('a very bright girl').

In the story the flashbacks are constantly interrupted by the enunciation subject:

even now her tears are still the nearest you have come to feeling grief at your father's death. You are thirty-four years old; everything that has ever happened to you is still happening (Ibid.: 1)

However, during thirty years since then you have learned to reason much better; these days, in fact, you rarely feel sadness or even the slightest disappointment. Soon you will be able to reason well enough to feel nothing at all (Ibid.: 7)

The form of narration is effected by this change. From being descriptive and authorial, the form of narration becomes conscious, as the enunciation subject “interferes” with the authorial narration. This consciousness emerges from the enunciation subject ‘you’ looking back on his past self, evaluating and interpreting the past.

In the conscious narration quoted above, the enunciation subject knows more than the subject of utterance. This may, however, not always be the case:

Were you aware of how much it disturbed you to watch her putting the finishing touches to her make-up? It lasted only a few minutes, yet during that time you could feel mud from the ocean floor being stirred up inside you (Ibid.: 27)

In the first line, the enunciation subject expresses a limited access to emotions of the past ‘you’. In Chapter 6 we saw that authorial narration can be limited. We now learn that conscious narration also may be limited. The sentence is followed by character narration generated by the mental verb ‘feel’.

In the closing of the novel, Chapter 11, the ‘you’ functioning as enunciation subject is transformed into an ‘I’ approaching the ‘you’ directly through the imperative form:

The alarm clock – has stopped ringing. Lie still. Relax for a few moments before getting up. Let the sunlight colour in the room – that’s its job, not yours. Relax. Kiss Mary. Say: good morning Mary. And smile. This is the first day.
[...]
The walk to the station. I am with you. It is all right. Everything is. A day at the office, then home again. I will be with you. Trust me (Ibid.: 105-6)

If we apply Fludernik’s terms, we can say that the story changes from being heterocommunicative to being homocommunicative, as the two ‘you’s’ become one. According to my terms, the form changes from descriptive authorial narration, character narration and conscious narration to character discourse where the ‘I’ approaches the ‘you’ directly. Again the difference between the two descriptions lies in the level on which we approach the text.

The shift from second to first person narration reflects the development of the mind of the subject of utterance, as its own inner voice becomes audible – a voice which he has tried to ignore for a long time:

This is the first day. One moment at a time. Stand still for one moment. Quietly. Quietly enough to hear the sound of my voice once more. You lost touch with me in the carriage when the mud began seeping in. In your panic you thrust me into the background as far as you could. Now the mud is rising inside you. Gently, Morris. You cannot keep it down. Not by yourself. Gently, gently (Ibid.: 107)

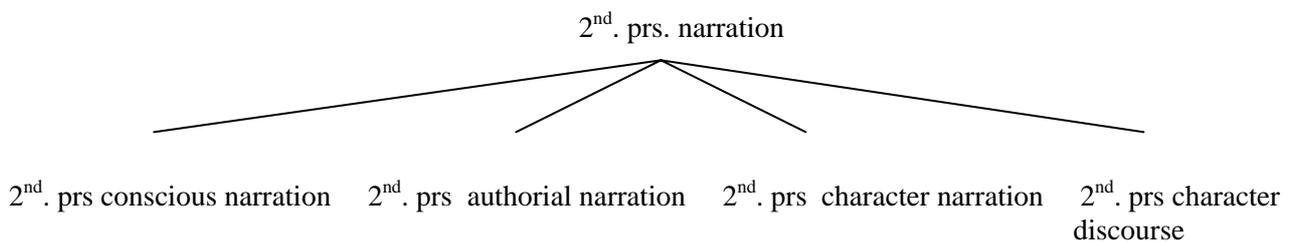
The protagonist is now finding himself becoming a whole person, so to speak. The protagonist has to work his way up to become one person, i.e. a homodiegetic narrative. It is not just a disguised homodiegetic narrative, as in Clifford's "Collage" where the first person pronoun only is mentioned half way through the novel. The story develops into a homodiegetic narrative as the protagonist becomes united with his former "I". This junction of the subject of utterance and enunciation subject is realized in the very last line: "When the car comes to a halt on the hard shoulder you are weeping uncontrollably. Your tears – and mine" (Ibid.: 114).

The form of narration and discourse least employed in *The Sound of my Voice* is character discourse. There are, however, some situations where it can be difficult to decide whether the enunciation subject enters the mind of the subject of utterance, or whether the reader gets direct access to the mind of the subject of utterance. This situation often happens when the subject of utterance is intoxicated:

The snowman scowls.
Change to Brahms – the snowman nods and taps his snowy feet in time.
One final text: you reach out to shake hands.
But the snowman won't.
Of course he won't! A short and melting introduction that would be!
Instead –
You take the kettle and pour boiling water on to the back of your hand.
And –
Nothing; nothing. Then pain; pain. Pain.
'Okay', you say aloud. 'This is not a dream; I believe completely that this is not a dream.' (Ibid.: 42)

In the last part, there is a clear character discourse emerging from the enunciation subject. The remaining sentences (except the two sentences ‘you reach out to shake hands’ and ‘You take the kettle and pour boiling water on to the back of your hand’) are more complex as there is no ‘you’ present. There is, however, one part which deviates from the rest, in the sense that they are more complete seen from a syntactic perspective: ‘Of course he won’t! A short and melting introduction that would be!’. This realization is clearly not emerging from the subject of utterance, since he is too intoxicated to make such reasoning and speak or think in complete sentences. The statement must thus be ascribed the enunciation subject. The following utterance (‘Nothing; nothing. Then pain; pain. Pain’) on the other hand, seems to emerge directly from the subject of utterance as he experiences the burning. This could thus be interpreted as direct thought. This reading can be substantiated by the following line appearing only few sentences down: ‘A bottle, a glass – and here’s to you, my abominable!’. The employment of the first person pronoun clearly indicates that the utterance is direct discourse emerging from the subject of utterance.

It is thus clear, that the forms of narration and discourse identified in heterodiegetic and homodiegetic narration are just as applicable in second person narration:



The three modes, first-, second- and third person narratives only deviate in the outset of the enunciation. Second person narration is more flexible than the heterodiegetic and homodiegetic forms, in the sense that the pronoun can partake all roles. The forms of narration and discourse, however, are identical in all three modes.

In all situations the second person pronoun is the I-Origo, whether functioning as enunciation subject, addressee, subject of utterance or a generalized you. This has given rise to broad definitions of second person narration. Fludernik defines it as a "narrative whose (main) protagonist is referred to by means of an address pronoun (usually you) and [which] frequently also [has] an explicit communicative level on which a narrator (speaker) tells the story of the 'you' to (sometimes) the 'you' protagonist's present-day absent or dead, wiser, self" (Fludernik, 1994b: 288). A more precise

definition would be a narrative where a second person pronoun functions as either enunciation subject, addressee, subject of utterance or a generalized 'you'. According to this definition, the communicative structures which surely will be identified on the level of communication, are not always identifiable on the linguistic level. This is the case when the second person pronoun does not function as enunciation subject.

Chapter 10

Conclusion

10.1 Concluding Remarks

There has been a long tradition for considering narrative fiction as a piece of communication. This tradition is deeply rooted in the teaching of the study of narration in the educational system at all levels. For many years, teachers have been facing the challenge of explaining how the communicative structures can be identified in the text. This is not always an easy task, considering the many implicit ways in which the narrator can be present.

In this dissertation, I have questioned whether it is fruitful to speak of a narrator in narrative fiction. However, rather than rejecting the narrator, or insisting on its presence in all situations, I have chosen to split the text into two levels, a communicative level and a linguistic level. On the communicative level, the narrator is obligatory and there will thus always be a communicative situation when seen from this perspective, whether implicit or explicit. If the narrator is only implicitly present, it is up to the reader to establish the communicative connections. On the linguistic level, communication only arises when it is manifested explicitly in the text. It is this level the present study has set out to examine.

The linguistic level is divided into two systems, a lexical system (Chapter 5) and a grammatical system (Chapter 7). The lexical system is concerned with the lexicality of lexemes; a lexeme is evaluative when it expresses an attitude towards an entity. In the examination of evaluation, appraisal theory provided us with a new set of terms: an ‘evaluator’ evaluates the ‘evaluated’ by means of ‘evaluation markers’. These three terms/participants proved to be useful in the examinations of evaluation in narrative fiction. When working with narrative fiction, the most interesting participant is the evaluator, since this subject in traditional narratology is considered as the narrator. The evaluator may, however, not always be textually retrievable. Thus when working on the linguistic level, we have a new situation, namely an evaluator-less situation. In such situations the evaluation cannot be ascribed a character, and since there is no narrator to hold responsible on the linguistic level, the evaluation cannot be ascribed a subject. Rather than expressing *someone’s* attitude, evaluator-less evaluations emerge from the level of narration and function as bricks building up the subjective worldview of the text. This worldview may be more or less evaluative as illustrated in the comparison between evaluation employed in “Little Tiny” and “The Gardener and the Noble House”.

The grammatical system is mainly concerned with the syntax of the sentence structure. Markedness arises when the sentence constructions deviate from the standard forms. Syntactic markedness has a vital effect on the way in which the textual universe is mediated in narrative fiction. Through markedness, syntactic structures are capable of effecting the form of narration to such an extent that what at first seemed to be one form of narration appears to be a different form. In “Bishop” we saw how the authorial narration was effected by the syntax of Bishop the character, as Bishop’s intoxication was reflected in the syntax. Consequently the form of narration changes from pure authorial narration to a fusion between authorial and character narration, i.e. free character narration. Markedness in the syntax and its effect has often been neglected in textual analysis. The identification of different narrative forms have enabled a better understanding of this effect, as the syntactic structure may cause a shift from one form of narration to another. The forms of narration and discourse must therefore not only be considered in relation to evaluation on a lexical level, but also include syntactic markedness.

The division between communicative and linguistic levels has enabled me to free the heterodiegetic text from the communicative way of thinking. By approaching the text from the linguistic level, a need for a new set of terms freed of obligatory narrators arises. In order to reach this goal the narrator needs to be replaced by two non-obligatory participants. This is where the two subjects, the ‘enunciation subject’ and the ‘subject of utterance’ (introduced in Chapter 4), are employed. These two subjects are textually retrievable in the sense that they are explicitly present in the text usually through first, second or third person pronouns. Both subjects, and thus all three forms of pronouns, may be placed at the I-Origo of the deictic centre. The first person pronoun usually functions as enunciation subject, whereas the second person pronoun functions as addressee and the third person pronoun as subject of utterance. However these basic forms may be challenged when considered in relation to the forms of narration and discourse (Chapter 6).

Since the only subject we meet in heterodiegetic texts is the subject of utterance, there is no enunciation subject to hold responsible for the enunciations in this mode. This means that some evaluations or descriptions are left unattached to a subject. Such subject-less evaluations constitute the subjective worldview of the text and should not be ascribed an unidentifiable subject. They should rather be considered as a special form of narration (Chapter 6), what I have referred to as ‘authorial narration’. It is this form of narration which has given rise to great discussions about the implied author. Since my intention has been to avoid such intangible subjects on the linguistic level, I have chosen to approach such text parts as a certain form of narration or discourse. The different

variations of authorial narration (external, descriptive and evaluative narration – limited or unlimited) each involve separate categories of authorial information. External narration provides the reader with text external information decisive to the understanding of the situation of the characters. This form of narration can be recognized by the gnomic present tense which adds a sense of factuality to the statements. In Crane's "The Open Boat" external narration is used repeatedly, updating the reader with maritime information and information about human reactions in emergency situations.

In descriptive authorial narration the reader is provided with factual information about the setting, circumstances of time, place or other relevant information which enables the reader to orient him/herself in the textual universe. Descriptions may be omitted, as is the case in some of Barthelme's stories. Here the dialogue between two or more characters or monologue, as we saw in "Aria", is put in focus at the expense of descriptions. It is thus left to the reader to create a picture of the textual universe. Other writers, like Hans Christian Andersen, often open the texts with substantial descriptions of the setting. Despite the fact that there are no explicit evaluations or markedness in descriptive authorial narration, the narration should not be considered objective. Descriptions are always a result of a selection: some elements are omitted whereas others are described more in depth than others.

Common for all forms of authorial narration is that the information conveyed cannot be traced to one or more characters in the text; there are no characters to hold responsible for the enunciations. This should not give rise to panic among narratologists, but rather lead to a new and alternative approach to the study of narrative fiction, as the one proposed in the present study where narrative fiction is considered a 'function' rather than a 'subject-object relation'. This means that the analyses become independent of an obligatory subject and may keep the focus on the actual structures and functions which are textually retrievable. We thereby avoid the confusion often evoked when talking about implicit/covert 'narrators'. The anthropomorphication pointed out in terms such as 'dual voice hypothesis', 'dissonance', 'consonance', 'third person narrator' and 'implied author', not to mention Genette's distinction between point of view and narration 'who sees?'/ 'who speaks?', is thus similarly avoided, since these aspects are approached from a different level. Rather than assuming that all narrative fiction is based on communication between the participants in the text, the linguistic approach introduced in the present study only focuses on elements which are textually retrievable.

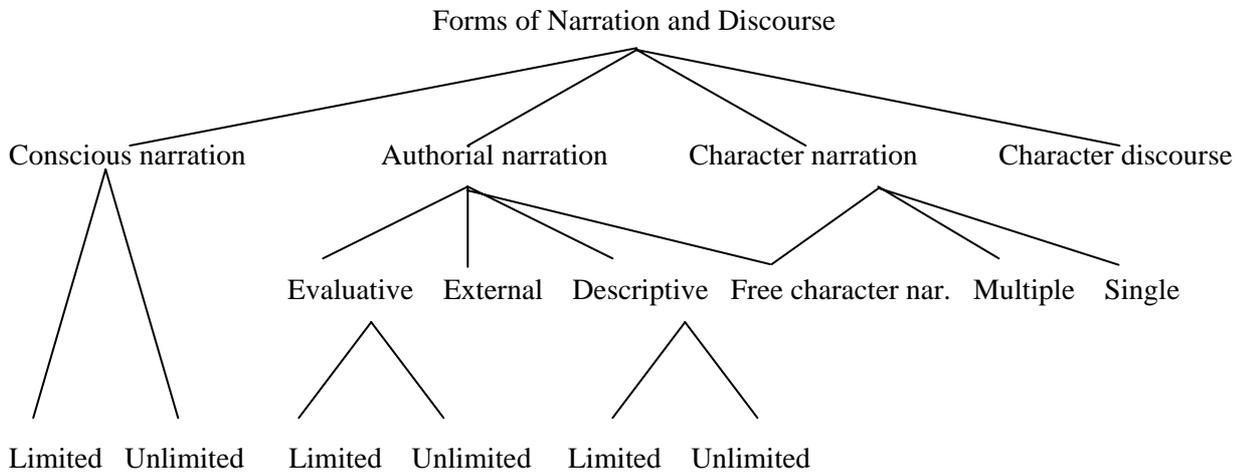
Authorial narration is not always a separate category. In some situations it is said to merge with character narration. This is the case in situations where the sound of a character's voice becomes audible in authorial narration. Evaluations, for example, can thus be traced to one or more characters, while the narrative form remains authorial. This was illustrated in the study of Hans Christian Andersen's fairytale "Little Ida's Flowers", where Ida's childish reasoning is mediated through authorial narration. Such situations are referred to as 'free character narration'. This form of narration has the effect that the evaluation belonging on story level appears to be shared on the level of narration. The subjective worldview of the text is thus influenced by a particular character perspective. Such constructions are traditionally considered as examples of sentences where two voices merge, namely the voice of the narrator and the voice of one or more characters (see Pascal (1977)). On the linguistic level, however, there is no narrator to hold responsible and the situation is thus considered a mergence of two narrative situations rather than voices.

In its "pure" form, character narration is mainly generated through mental, verbal or behavioural processes. These processes all give access to the inner state of the character or their enunciations often constructed through inquit. There is thus always at least one character to hold responsible for possible evaluations. This form of narration and discourse is often employed in narrative fiction. Consequently, heterodiegetic texts or long passages avoiding character narration become remarkable because they neglect to use this standard form. In such cases the narrative becomes distant. Other texts may employ character narration to such an extent that the text almost seems to function as a homodiegetic text. This is the situation we found in "An Occurrence at Owl Bridge" and "Little Tiny", where character narration is centred around the main characters.

Character narration is the only form where the feelings of the characters are mediated. It is, however, not the only form where this information becomes apparent. In character discourse the reader gets direct access to the enunciations or thoughts of the characters, without any intervention from the level of narration. This is the form of discourse where the reader gets the most immediate access to the story level.

Conscious narration has a similar sense of immediateness. This form of narration is often seen as a clear sign of the presence of an implied voice. However, seen from the linguistic level conscious narration is basically considered a form which allows a questioning of the actions of the characters. The reader is thus provided with a second opinion or presentation/interpretation of the events independent of the characters. This opinion often sheds new light on the action. In the examination of second person narrative fiction, we learned that conscious narration also may be

limited. The complete forms of narration and discourse and their variables can be illustrated as follows:



The forms of narration and discourse can be more or less dominant in the different texts. Some texts purely exist of character discourse, whereas authorial narration or character narration may be dominant in others. Conscious narration usually only appears in single passages. Heterodiegetic texts dominated by character discourse are closely related to homodiegetic narration. This is simply due to the reduction of the level of narration. The speech of the characters is left unmediated, providing the reader with direct access to the thoughts or utterances of the characters. In homodiegetic texts, on the other hand, an extensive use of authorial narration or character narration is closely related to the heterodiegetic form. Thus to state that a text is homodiegetic or heterodiegetic does not say a whole lot about the forms and functions employed in the texts. Some heterodiegetic texts may function more like homodiegetic texts, or vice versa. In order to make such observations, it is necessary to consider the forms of narration and discourse employed in the texts. This will give a more precise description of the way in which the story is mediated to the reader.

The forms of narration and discourse are thus not restricted to heterodiegetic texts. When considering the way in which meaning is conveyed to the reader in homodiegetic texts and second person narratives, we soon learn that the forms of narration and discourse employed are identical (Chapter 8 and 9). Homodiegetic texts deviate from heterodiegetic texts in that the enunciation subject is present. The fact that there always is a subject to hold responsible for lexical evaluation or syntactic markedness does not, however, give rise to the establishment of new forms of narration

and discourse. The reader still needs information about setting, time, location, the thoughts of a character etc. and this information is provided through the same forms of narration and discourse as those identified in heterodiegetic texts. The same situation is found in second person narrative fiction. Here the reader is also provided with information enabling a better understanding of the textual universe and action. This mode deviates from homodiegetic and heterodiegetic narration in that the 'you' may function as any of the subjects (i.e. the enunciation subject, the addressee, the subject of utterance or as a generalized 'you'). Although the basic form is realized when functioning as addressee, the 'you' often functions as subject of utterance, enunciation subject or a generalized 'you'. The mode is thus more flexible than the heterodiegetic and homodiegetic modes.

10.2 A Reconsideration of Communication in Narrative Fiction

In the dissertation I have examined the narrator from a linguistic level and thereby dissolved this subject into structures and textual constructions. I have hereby opened up for a more form-oriented approach which enables me to avoid the anthropomorphication characteristic of the communicative level. Narrative fiction is thus only an act of communication when considered on the communicative level. Consequently, subject-less evaluation markers and syntactic markedness do not generate a presence of a narrator, but should rather be considered as elements building up the text's subjective worldview. Communication is thus only present on the linguistic level when being textually retrievable.

This form-oriented approach has revealed a close relation between the homodiegetic and heterodiegetic modes as they employ similar forms of narration and discourse. The fact that similar forms are employed in both modes is thought-provoking and makes me curious of whether it would be possible to identify similar forms in other text types or media such as pictures/paintings or TV-broadcasts. In paintings like Manet's 'Luncheon on the Grass' (1863) there is, for example, one area dedicated to the setting (the boat, the woods, the lake), and one area in which the protagonists are placed. This can be depicted as authorial and character narration respectively. In the TV-news we also find clear structures. First the authorial narration is employed in order to introduce the story and its circumstances, and then character discourse is used where the people involved are free to present their views of the event. Here the interviewer may effect the answers to such an extent that we can talk of a mixture between authorial and character narration, i.e. free character narration. Thus being aware of where the evaluation markers emerge from, when watching the news for example, also reveals the colouring of the situation which should be traced back to the TV station.

In conclusion I will return to the two questions posed in the Introduction: ‘how is narration established through linguistic structures and vice versa, how do linguistic structures establish narration?’. My answer to this question is, in short: narration consists of several different forms which may be constructed on the level of narration (through what I have referred to as ‘forms of narration’) or on story level (‘i.e. character discourse’). These forms of narration and discourse serve to provide the reader with the information needed in order to construct an interpretation of the text.

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Danish Summary

Den lingvistiske manifestation af litterær kommunikation i narrativ fiktion

I denne afhandling undersøger jeg fortællerens opløsning på det lingvistiske niveau. I stedet for at lade arbejdet med fortælleforhold være et spørgsmål om at identificere forskellige subjekter, søger jeg at bidrage med en mere form-orienteret tilgang til tekstanalysen. De forskellige former for narration og diskurs udviklet i afhandlingen giver en mere tilfredsstillende beskrivelse af de måder, hvorpå handlingerne er medieret, da de afkoder tekstens struktur. Disse former er ligeledes med til at kortlægge den subjektive verdensanskuelse etableret i teksten uden at falde tilbage til antropomorfe subjekter, som ikke kan identificeres på det lingvistiske niveau. Dette teoretiske udgangspunkt er baseret på følgende forståelse: når der ikke er nogle karakterer at holde ansvarlige for tekstens evalueringer, tilhører evalueringerne tekstens norm og værdisæt. Analysens fokus må derfor ændres fra 'hvem?' til 'hvad?'.

Det andet kapitel, 'Lingvistisk og litterær analyse' indledes af en gennemgang af forskellene mellem fiktivt og ikke-fiktivt sprogbrug. Fiktionens karakteristiske træk bliver tydeliggjort, når de undersøges i lyset af ikke-fiktion. Nogle strukturer er mest karakteristiske for fiktion, hvorimod andre hovedsageligt forekommer i ikke-fiktive tekster. Dette betyder ikke, at bestemte strukturer er begrænset til en genre. Som vi så i nogle af Barthelmes tekster, kan der være en tendens til at bryde med konventionerne og anvende strukturer, der ofte forbindes med ikke-fiktive tekster. Gennemgangen af de to genrer giver et overblik over de særlige træk, der er karakteristiske for fiktionen, såsom adgangen til karakterernes tanker, fri indirekte tale, tempus, deiksis og brugen af syntaktiske konstruktioner. Ved at gøre opmærksom på disse træk foregriber jeg en stor del af de fiktive elementer, som vil blive undersøgt i de følgende kapitler. Denne del efterfølges af en kort gennemgang af sproganalysen fra begyndelsen af det tyvende århundrede og frem til i dag. Gennemgangen har til formål at give en indsigt i tekstanalysens teoretiske baggrund. Her spiller den funktionelle tilgang en stor rolle, da sprogets funktionelle aspekter er fundamentale for tekstanalysen.

I kapitel tre, 'Narration og narrative strukturer', introduceres de forskellige opfattelser af narration og de involverede deltagere. Her bliver det tydeligt, hvordan de antropomorfe subjekter anvendes i den traditionelle narratologi. Hvor nogle narratologer insisterer på tilstedeværelsen af den implicite

forfatter (Chatman, Belsey, Nelles), opfattes denne af andre som et redundant subjekt (Genette, Bal, Jakobson, Chambers, Nünning, Toolan, Larsen). Da mit arbejde tager udgangspunkt i det lingvistiske niveau, har dette medført en opløsning af den implicite forfatter. Frem for at tale om et subjekt, har jeg valgt at forklare de elementer, der traditionelt er tilskrevet denne instans, en bestemt form for narration. I anden del af kapitlet gennemgås de kommunikative og ikke-kommunikative tilgange. Om fortælleren er en obligatorisk deltager i den narrative fiktion eller ej, afhænger af den tilgang analysen tager sit udgangspunkt i. I den kommunikative tilgang (Stanzel, Genette, Prince, Barthes, Rimmon-Kenan, Kellogg and Scholes, Jahn) betragtes fortælleren som en obligatorisk størrelse. Her udspilles analysen, på det jeg kalder det kommunikative niveau. På dette niveau vil der altid være en kommunikation mellem en fortæller og en adressat enten implicit eller eksplicit. Ifølge den ikke-kommunikative tilgang (Banfield, Hamburger, Cohn, Reitan, Skalin, the early Chatman) er de kommunikative strukturer ikke obligatoriske. Frem for at antage, at der eksisterer en kommunikativ forbindelse mellem en fortæller og en adressat, undersøger den ikke-kommunikative tilgang kommunikationsstrukturerne fra et lingvistisk niveau og åbner dermed op for det, de omtaler som fortællinger uden fortællere. Hermed opløses fortælleren i strukturer.

I den første del af kapitel fire, 'De lingvistiske strukturer', introduceres leksikalsk evaluering og grammatisk markering. Med udgangspunkt i Andersson og Furbergs *Sprog og Påvirkning* (1966) skelner jeg mellem evaluerende udtryk og markerede sætningsstrukturer. Begge aspekter er vigtige, når vi undersøger betydning i narrativ fiktion. Dette afsnit efterfølges af en distinktion mellem subjekter på det lingvistiske niveau. Da fortælleren ikke altid er manifesteret eksplicit i teksten på det lingvistiske niveau, er det nødvendigt at introducere et alternativt begrebsapparat. Benveniste skelner mellem to subjekter, 'udsigelsens subjekt' og et 'udsigelsessubjekt'. Disse to termer muliggør en skelnen mellem udsigeren og udsigelsens objekt. Dette er en meget anvendelig distinktion, når vi arbejder med heterodiegetiske tekster, da det eneste tilstedeværende subjekt er udsigelsens subjekt. Der er ikke noget udsigelsessubjekt til stede. Dette betyder, at når vi taler om en fortæller i heterodiegetiske tekster på det kommunikative niveau, er det i virkeligheden udsigelsens subjekt, der refereres til. I kapitlets sidste del undersøges denne situation fra et deiktisk perspektiv. I heterodiegetiske tekster fungerer udsigelsens subjekt som tekstens Jeg-Origo. Det betyder, at evalueringsmarkører eller syntaktiske markeringer kan føres tilbage til dette subjekts placering i tid og sted. Jeg-Origoet er således ikke begrænset til udsigelsessubjektet, dvs. 'jeg'et'. Som vist i kapitel ni kan anden-persons pronominet ligeledes placeres i tekstens Jeg-Origo.

Udsigelsessubjektet er normalt realiseret af et første-persons pronomen, hvorimod udsigelsens subjekt realiseres af et tredje-persons pronomen og adressaten af et anden-persons pronomen. Som de følgende kapitler afslører, kan der afviges fra disse basisformer.

I kapitel fem, 'Det leksikalske system', introduceres leksikalsk evaluering. For at få fat i måden hvorpå teksters værdisæt etableres, er det nødvendigt at undersøge, hvor evalueringsmarkørerne udgår fra. Appraisal-teorien bidrager med et alternativt begrebsapparat, der kan begrebsliggøre de deltagere, der er involveret i evalueringen: det subjekt, der evaluerer, kaldes 'evaluator', det evaluerede objekt er 'det evaluerede', og selve evalueringen omtales som 'evalueringsmarkør'. Når vi arbejder med narrativ fiktion, opdager vi hurtigt, at evaluatoren ikke altid er til stede i teksten. I sådanne situationer taler vi om evaluatorløse sætninger, dvs. sætninger, der ikke kan føres tilbage til en karakter i teksten. Evalueringen tilskrives derimod teksten selv. Evaluator-løse evalueringer er derfor vigtige elementer i opbygningen af tekstens subjektive verdensanskuelse, det der traditionelt tilskrives den implicite forfatter. Frem for at tilskrive evalueringen et subjekt i teksten, betragtes sådanne situationer som en bestemt narrationsform. Narrations- og diskursformerne er baseret på evaluatoren. Dette betyder, at evalueringsmarkører, der udgår fra en karakter i direkte tale, udgør diskurs, hvorimod evaluering, der udgår fra tredje-persons pronomen, som i følgende sætning "han var ked af det", kategoriseres som karakter narration. Evalueringsmarkører, der ikke kan tilskrives en karakter, er enten autorial eller bevidst.

Narrations og diskursformerne videreudvikles i kapitel seks sammen med nye variationer og former. Karakter diskurs er den eneste form, der ikke involverer narrationsniveauet. Diskursen er udelukkende etableret på 'story-niveauet', og læseren får dermed direkte adgang til karakterernes diskurs. I karakter narration får læseren ligeledes adgang til en eller flere karakters tanker gennem 'single' eller 'multiple' karakter narration på narrationsniveauet. Den karakter, der er ansvarlig for evalueringen, er ikke nødvendigvis til stede i alle sætninger. I nogle afsnit kan en evaluering tilskrives en karakter, der ikke er til stede i dette afsnit. Det er ko-teksten, der afslører, hvor evaluatoren udgår fra. Der er således et tæt forhold mellem autorial narration og karakter narration, en situation vi refererer til som 'fri karakter narration'. Denne fusion mellem autorial og karakter narration, hvor synsvinklen forbliver på 'story-niveauet' giver et indtryk af, at karakterens evaluering overtages på narrationsniveauet. Dette har noget at gøre med, at evalueringen ikke er direkte begrænset til en eller flere karakterer gennem inkvitter eller lignende konstruktioner.

Tekstens subjektive verdensanskuelse er således påvirket af 'story-niveauet'. Autorial narration er dog ikke alene kendetegnet ved evalueringsløse evalueringer. Nogle autoriale afsnit består af rene beskrivelser, det jeg har beskrevet som 'deskriptiv autorial narration'. Disse beskrivelser har i nogle situationer kun begrænset adgang til fortællingens omstændigheder. Hvis der er uoverensstemmelser mellem evaluering i karakter narration og evaluering i evaluativ autorial narration, opstår der upålidelighed.

Læseren kan ligeledes få tekststern information, såsom historiske oplysninger om den periode, hvori handlingen finder sted. Denne situation kategoriseres som 'ekstern autorial narration'. Ekstern information giver læseren indblik i den baggrund, der ligger til grund for en karakters handlinger. Denne narrationsforms funktion er at give læseren information om omstændigheder, der gør denne i stand til at tegne sig et billede af det tekstuelle univers, hvori karaktererne er konstrueret. Dette er ikke intentionen bag den sidste narrationsform, nemlig 'bevidst narration'. Her får læseren en alternativ fortolkning af karakterens handlinger. De fleste tekster veksler mellem disse narrations- og diskursformer, selvom nogle former er mere dominante end andre.

I kapitel syv introduceres det grammatiske system. Først redegør jeg for, hvad jeg helt præcist mener, når jeg taler om syntaktisk markering. En sætning er markeret, når sætningsstrukturen afviger fra standardformer. Analysen af Barthelmes novelle "Bishop" illustrerer, hvordan syntaktisk markering kan påvirke narrations- og diskursformerne; det der umiddelbart lader til at være autorial narration vil måske vise sig at være karakter narration, når vi undersøger tekstens syntaktiske strukturer. Effekten af en syntaktisk markering gøres således tydelig, når den anskues i forhold til de forskellige narrations- og diskursformer.

I kapitel otte, 'Narrations- og diskursformer i homodiegetiske narrative tekster', undersøger jeg om narrations- og diskursformerne kan anvendes på homodiegetiske tekster. Som nævnt afviger homodiegetiske tekster fra heterodiegetiske tekster ved, at der altid er et udsigelsessubjekt til stede. Men ser vi nærmere på måden, hvorpå information medieres til læseren, ser vi, at det er de samme narrations- og diskursformer, der anvendes, som dem vi har identificeret i heterodiegetiske tekster. Dette har noget at gøre med, at læseren har behov for samme information i homodiegetiske tekster som i heterodiegetiske tekster. Det er således muligt at identificere de samme former i homodiegetiske tekster. Når den autoriale narrationsform anvendes i homodiegetiske tekster,

fungerer teksten nærmest som en heterodiegetisk tekst. En lignende opdagelse finder vi i kapitel ni, 'Narrations- og diskursformer i anden persons tekster', hvor narrations- og diskursformer anvendes på tekster skrevet i anden person. Igen finder jeg frem til, at de former, der anvendes til at viderebringe information til læseren, er identiske med de former identificeret i heterodiegetiske tekster.

I det sidste kapitel, 'Konklusion', genovervejer jeg opfattelsen af narrativ fiktion som kommunikation.

English Summary

The Linguistic Manifestation of Literary Communication in Narrative Fiction

In this dissertation I study the dissolving of the narrator when examined from the linguistic level. Rather than letting the study of narration be a question of identifying different subjects, I advocate for a more form-oriented approach. The forms of narration and discourse developed in the dissertation give a much more satisfying description of the ways in which the events are mediated, because they are concerned with the actual structure of the text. It also enables a way to capture the subjective worldview constructed in the text without falling back on anthropomorphic subjects which are unidentifiable on the linguistic level. This theoretic stance is based on the following understanding: when there is no character or group of characters to hold responsible for the evaluations in the text, the evaluations constitute and express the norms and values of the text. The focus of the examination must therefore be changed from ‘who?’ to ‘what?’.

Following the Introduction, the second chapter, ‘Linguistic and Literary Studies’, opens with a presentation of the distinction between fictional and non-fictional language. When considered in the light of non-fiction, the distinctive features of fictional language become apparent. Some structures are more characteristic of fiction, whereas others mainly appear in non-fiction. This is not to say that the particular structures are restricted to one genre. As we see in some of Barthelme’s writings, some experimental texts tend to break with conventions and employ structures often associated with non-fiction. The presentation of the two genres gives an overview of the special features characteristic of fiction, such as the access to other characters’ minds, free indirect discourse, tense, deixis and the use of syntactic constructions. By drawing attention to these features, I have anticipated a great part of the fictional devices which will be examined in the following chapters. The chapter continues with a brief outline of the study of language from the beginning of the twentieth century up till today. This outline serves to provide an insight into the theoretical background on which textual analysis is based. The functional approach plays a vital role, since the understanding of language as serving a function is fundamental for textual analysis.

In chapter three, 'Narration and Narrative Structure', the different understandings of narration and its participants are presented. Here it becomes apparent how anthropomorphic subjects are employed in traditional narratology. Where some narratologists insist on the presence of the implied author in narrative fiction (Chatman, Belsey, Nelles), others consider it a redundant participant (Genette, Bal, Jakobson, Chambers, Nünning, Toolan, Larsen). In the present study I have dissolved this anthropomorphic participant. Rather than speaking of a subject, I have chosen to explain the devices usually ascribed this instance, a special form of narration. In the second part of the chapter the communicative and non-communicative approaches are presented. Whether the narrator is an obligatory participant in narrative fiction or not depends on the approach on which the analysis is based. In the communicative approach (Stanzel, Genette, Prince, Barthes, Rimmon-Kenan, Kellogg and Scholes, Jahn), the narrator is considered an obligatory participant. Here the analyses are performed on what I have referred to as the communicative level. On this level, there will always be a communication between a narrator and a narratee, whether implicit or explicit. According to the non-communicative approach (Banfield, Hamburger, Cohn, Reitan, Skalin, the early Chatman), communication is optional. Rather than assuming a communicative connection between the narrator and a narratee, the non-communicative approach examines the communication structures from a linguistic level, and thereby open up for what they refer to as narratives without narrators. The narrator is thus dissolved into structures.

In the first part of chapter four, 'The Linguistic Structures', the characteristics of lexical evaluation and grammatical markedness are introduced. Going back to Andersson and Furberg's work *Sprog og Påvirkning* (1966), I distinguish between evaluative expressions and marked sentence structures. Both aspects are important in the examination of meaning in narrative fiction. This section is followed by a distinction between subjects when working on the linguistic level. In traditional narratology the main subject is the narrator. However, since the narrator is not always textually manifested when working on the linguistic level, it is necessary to introduce alternative terms. Benveniste distinguishes between two subjects, a 'subject of utterance' and an 'enunciation subject'. These two terms enable a distinction between the enunciator and the object of the enunciation. This is a very useful distinction when working with heterodiegetic texts, since the only subject present in this mode is the subject of utterance. There are no enunciation subjects present. This means that when speaking of a narrator in heterodiegetic texts on the communicate level, the communicative approach refer to the subject of utterance. In the last part of the chapter, this

situation is considered from a deictic perspective. Thus in heterodiegetic texts, the subject of utterance functions as the I-Origo of the text. This means that evaluation markers or syntactic markedness can be traced to the position of this subject in time or place. The I-Origo is thus not restricted to the 'I', i.e. the enunciation subject. As illustrated in chapter nine, the second person pronoun 'you' may also be placed at the I-Origo. The enunciation subject is usually realized by the first person pronoun, whereas the subject of utterance is realized by third person pronoun and the addressee is realized by the second person pronoun. As the following chapters reveal, these basic forms may be challenged.

In chapter five, 'The Lexical System', the aspects of lexical evaluation are presented. In order to capture how the values of a given text are established, it is necessary to examine where the evaluation markers emerge from. Appraisal theory provides an alternative set of terms which can capture the different participants involved in evaluation: the subject evaluating is 'the evaluator', the object 'the evaluated' and the marker carrying the evaluation is 'the evaluation marker'. When working with narrative fiction, we soon learn that the evaluator may not always be present. In such situations, we speak of evaluator-less sentences, i.e. sentences which cannot be traced back to a character in the text. The evaluation is rather ascribed the text itself. Evaluator-less evaluations are thus important bricks in the building up of the text's subjective worldview, what has traditionally been ascribed the implied author. Rather than ascribing the evaluation a participant in the text, such situations are considered a certain form of narration. The forms of narration and discourse are based on the evaluator who evaluates. This means that evaluation emerging from a character in direct speech is considered 'discourse', whereas evaluation ascribed a third person pronoun as in the sentence "he felt sad" are categorized as 'character narration'. Evaluations which cannot be ascribed a participant are either 'authorial' or 'conscious'.

The forms of narration and discourse are developed further in chapter six, and new variants of the forms are introduced. Character discourse is the only form which does not involve the level of narration. The discourse is only enacted on story level, and the reader is thus given direct access to the discourse of the characters. In character narration the reader gets access to the thoughts and enunciations of one or more characters, referred to as 'single' and 'multiple character narration' respectively, through the level of narration. The character responsible for the evaluation may not be present in all sentences. In some paragraphs, we ascribe the evaluation markers the character

although the character may be absent in this particular paragraph. It is the co-text which reveals where the evaluator emerges from. There is thus a close relation between authorial narration and character narration. Such situations are referred to as 'free character narration' and includes free indirect discourse. This merger between authorial and character narration, where the point of view remains on story level, gives the impression that the character's evaluations are shared on the level of narration. This is simply due to the fact, that the evaluation is not directly restricted to one or more characters through inquit or similar constructions. The subjective worldview of the text is thus effected by the story level. Authorial narration is not, however, only recognized by evaluator-less evaluations. Some authorial passages consist of pure descriptions, what I have referred to as 'descriptive authorial narration'. These descriptions may only have a limited access to the circumstances in which the story is enacted. If there are any inconsistencies between the evaluation in character narration and evaluation in evaluative authorial narration, a situation of unreliability arises.

The reader may also be provided with text external information, such as historical information about the time in which the story takes place. This situation is referred to as 'external authorial narration'. Such information serves to explain the reactions of the characters to the reader. The function of authorial narration is to inform the reader with circumstances which enables the reader to draw a picture of the textual universe in which the characters are constructed. This is not the intention with the last form of narration, i.e. 'conscious narration'. Here the reader is provided with an alternative interpretation of the action of the characters. Most texts alternate between these forms of narration and discourse, although some forms may be more or less dominant.

In chapter seven, the grammatical system is introduced. First the concept of 'syntactic markedness' is explained. A sentence is marked when the sentence structure deviates from the standard forms. The analysis of Barthelme's short story "Bishop", serves to illustrate how syntactic markedness may effect the forms of narration and discourse; what at first glance seems to be authorial narration may in fact prove to be character narration, when examining the sentence structure. The effect of syntactic markedness is thus made conspicuous when considered in relation to the forms of narration and discourse.

In chapter eight, 'Forms of Narration and Discourse in Homodiegetic Narrative Fiction, I examine whether the forms of narration and discourse are applicable to homodiegetic texts. As mentioned,

homodiegetic texts deviate from heterodiegetic texts in that there always is an enunciation subject present. However, at closer examination, it becomes clear that this enunciation subject uses the same forms as employed in heterodiegetic texts. This is simply due to the fact that the reader needs the exact same information as provided in heterodiegetic texts. It is thus possible to identify the same forms of narration and discourse in homodiegetic texts as those identified in heterodiegetic texts. When employing authorial narration the text basically functions as a heterodiegetic text. A similar realization is made in chapter nine, 'Forms of Narration and Discourse in Second Person Narrative Fiction', where the forms of narration and discourse are applied to second person narration. Again I discover that the forms employed to convey information to the reader are identical to those identified in heterodiegetic texts.

In the final chapter, 'Conclusion', I reconsider narrative fiction as communication.