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Narratology 3.0: A Guide to the Theory of Narrative

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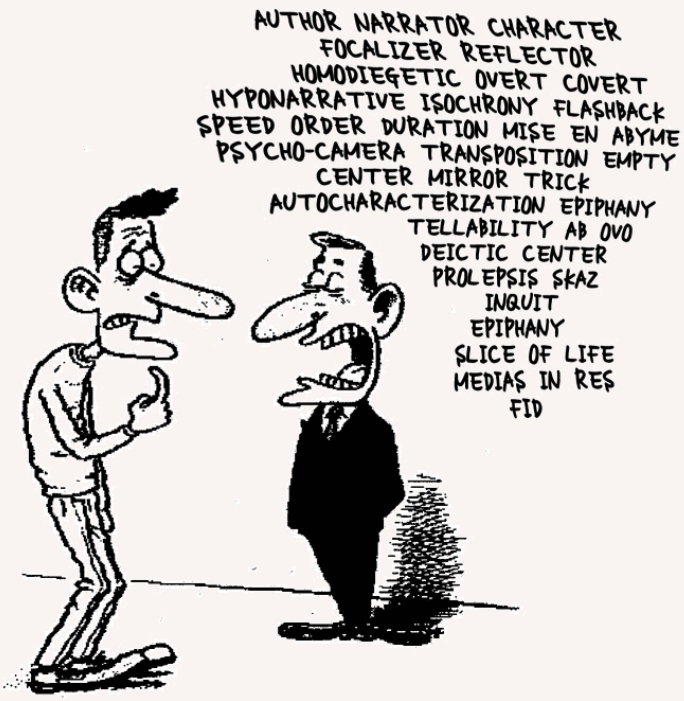
Abstract. This guide offers a toolbox approach to narratological concepts and models and shows how to put them to work in the analysis of (mostly verbal) narratives. The definitions are based on a number of classical introductions – specifically, Genette (1972/1983, key terms: *voice*, *homo-* and *heterodiegetic*, *focalization*), Chatman (1978: *overtness* and *covertness*), Lanser (1981: *voice*, *human limitation*, and *omniscience*), Stanzel (1979: *narrative situations* and *reflectors*), Bal (1985: *focalizers*), Fludernik (1996: *natural narratology*). The guide also contains an extended exposition of the author's own theory of Constructivist Focalization (ch3.5). ***Changes*** include a more readable font, simplified paragraph numbering, and updated links and references. Various revisions and additions have been integrated into sections 1, 3, and 9 (see highlighted items below).

Contents (revisions highlighted)

1. Getting started
   1.1. A pictorial introduction
   1.2. Analyzing incipits
2. The narratological framework
   2.1. Background and basics
   2.2. Types and genres of narratives
   2.3. Narrative communication
   2.4. Nested (embedded) narratives
3. Narrators, narrative situations, and focalization
   3.1. Narrators
   3.2. Homodiegetic and heterodiegetic narrators
   3.3. Narrative situations
      3.3.1. First-person (homodiegetic) narration
      3.3.2. Authorial narration
      3.3.3. Figural narration
      3.3.4. Other types
      3.3.5. Borderline cases and infractions
   3.4. Classical focalization (Genette)
   3.5. Constructivist focalization (Jahn)
      3.5.1. The constructivist basics
      3.5.2. Types and subtypes of focalization
      3.5.3. Mental spaces and focalization
      3.5.4. Levels of focalization
      3.5.5. Summary and checklist
   3.6. Stanzel's typological circle
4. Action, story, tellability
5. Tense, time, and narrative modes
   5.1. Narrative tenses
   5.2. Time analysis
   5.3. Narrative modes
6. Setting and fictional space
7. Characters and characterization
8. Discourses: quoting speech, thought, and writing
9. Case studies
   9.1. Homodiegetic dialogue in Alan Sillitoe's "The Fishing Boat Picture"
   9.2. Heterodiegetic multiple focalization in Patrick White's *The Solid Mandala*
   9.3. Immersion with a vengeance: Siegfried's last tale
   9.4. Conversational storytelling in Billy Wilder's *The Apartment*
   9.5. Cognitive dissonance in Hans Fallada's *Wolf Among Wolves*
   9.6. The museum scene in Hitchcock's *Vertigo*
References

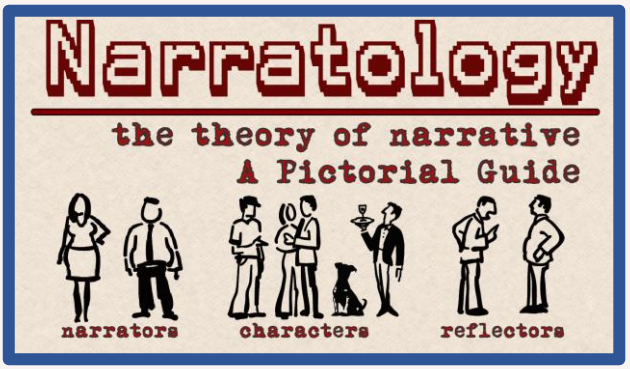


[1] Homepage www.uni-koeln.de/~ame02/ ; Email; project page www.uni-koeln.de/~ame02/ppp.htm.

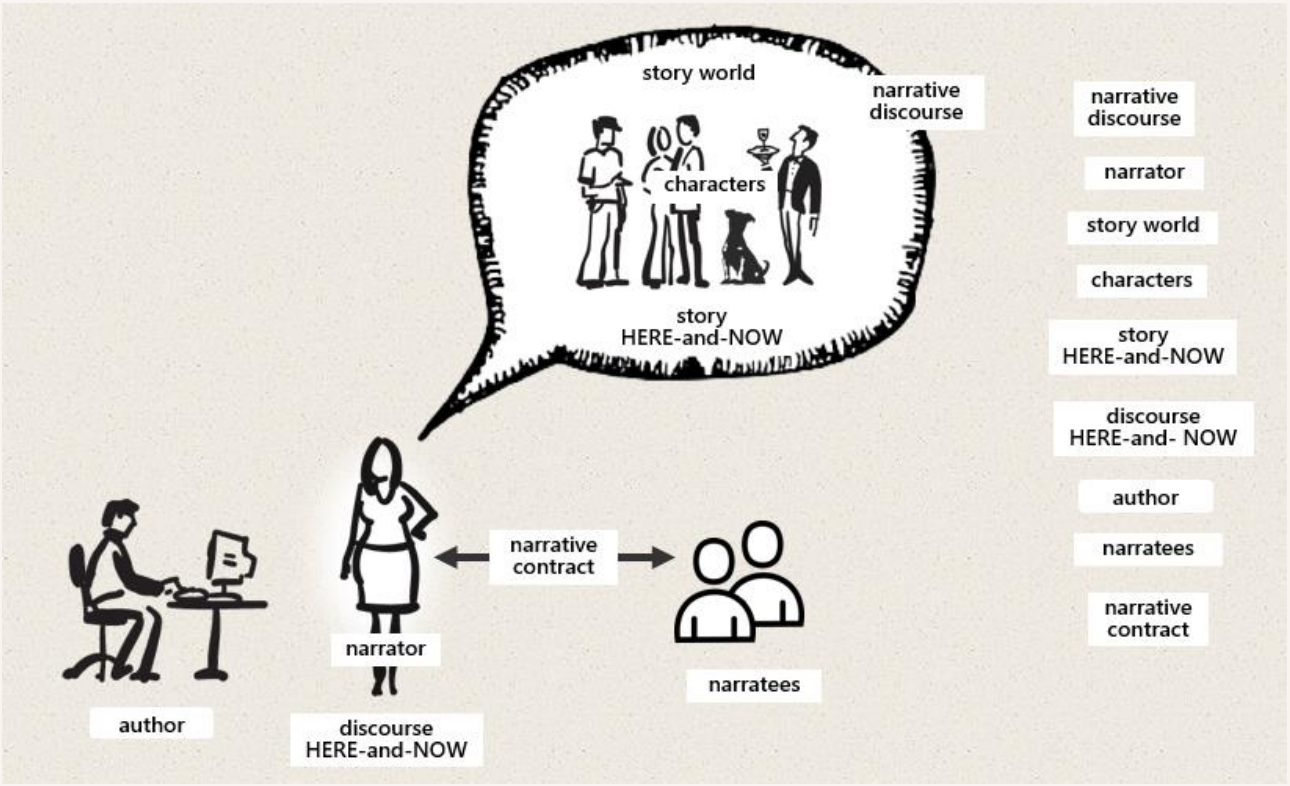
1. Getting started

1.1. A pictorial introduction

This chapter briefly recapitulates the initial pages of a 2023 YouTube video (click picture to play). The video was based on simple graphics and animations, and its aim was the same as what is pursued here, namely, to offer a basic introduction to the field of narrative theory. Note well that while there are many approaches to narratology (to be discussed in the main parts of this guide), this chapter presents a very selective overview only.[2]



1.1.1. Basic elements



1-01. On the right of this graphic there is a vertical list of nine basic technical terms. The picture itself shows a female ***narrator*** who utters a ***narrative discourse*** (tells a story), which is represented as a speech bubble. When telling a story, the narrator creates a ***story world***, which is populated by ***characters***. Yes, there is a dog among the characters – we will accept all beings, human or not, as possible story characters.[3] Each moment in the story world's events takes place at a certain time and location, the ***story here-and-now***. The narrator's discourse is situated in place and time, too, and this constitutes the ***discourse here-and-now***. Sometimes, especially when dealing with narrative fiction, we need to add the ***real-life author*** as a separate agent – mainly because authors of fiction often simply invent their narrators. For instance, an older author may invent a younger narrator, or a male author may let the story be told by a female narrator (as pictured). Narrative discourse is heard or read by an audience of one or more ***recipients*** or

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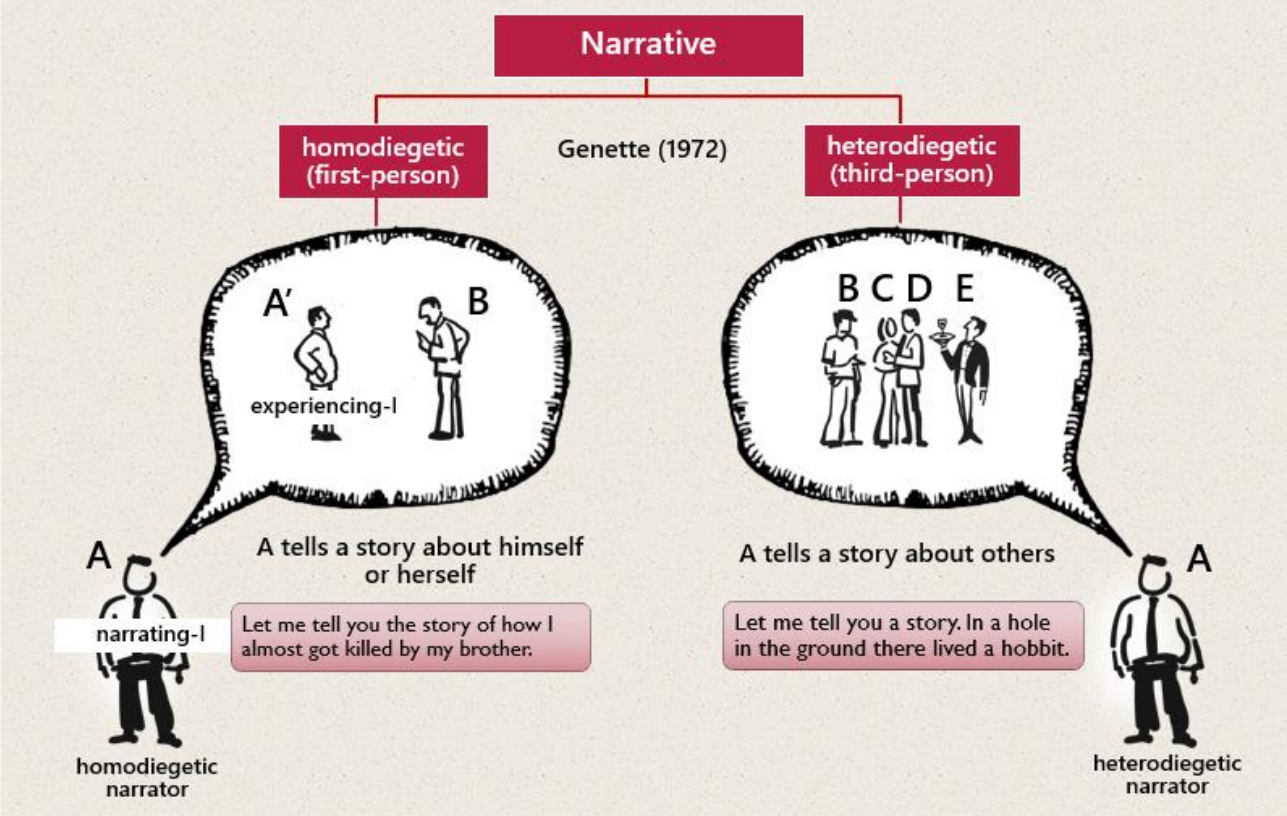
[2] Character graphics created by Art-Y (iStock-ID 164475357, with permission). Four main approaches are covered in the video: Classical Narratology as per Genette and Chatman, Natural Narratology as proposed by Fludernik, Focalization Theory as developed by Genette, Bal, and Jahn, and Transmedial Narratology as discussed by Ryan and Thon.

[3] See Herman (2018) on animals as characters in fiction and Yong (2022) for the special modes of animal perception.

narratees. Narrators and narratees are outside or ***external*** to the story world, while characters are in or ***internal*** to the story world, a distinction that will be invoked frequently. Lastly, efficient storytelling depends on a certain amount of cooperation between narrators and narratees because narrators will usually consider what's new or familiar to their audience and adjust their discourse accordingly; likewise, narratees will process the information provided as best they can. If expectations are largely compatible on both sides we can speak of an implicit ***narrative contract*** between the two parties. However, as Grice (1975) has pointed out, there are many occasions where such contracts may get broken, either inadvertently or strategically.

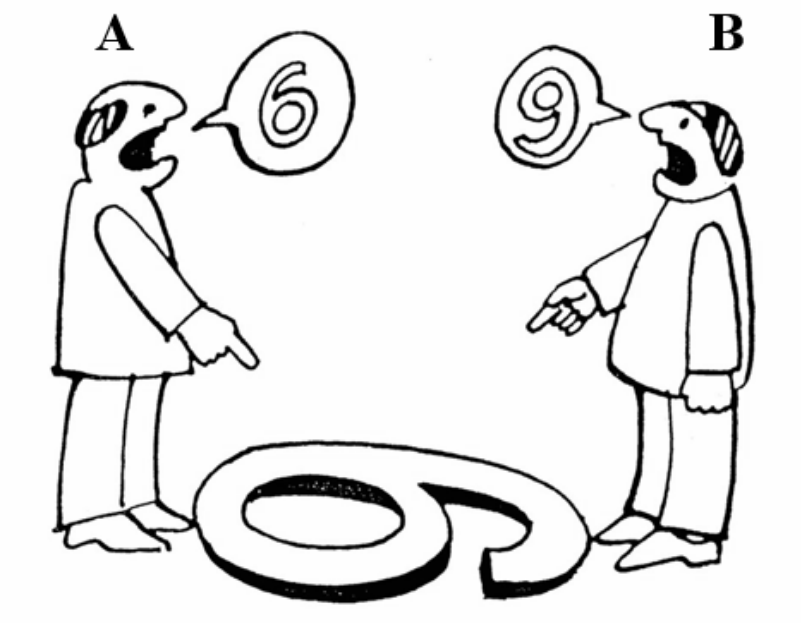
1.1.2. Homodiegetic and heterodiegetic narratives



1-02. There are many types of narrative, but at this point we focus on two particularly important ones, ***homodiegetic*** or ***first-person narratives*** and ***heterodiegetic*** or ***third-person narratives***. (This guide will treat the paired terms as interchangeable synonyms.) As the graphic attempts to show, in a homodiegetic narrative, we have a narrator called A and two characters called A' and B. Calling one character A' ("A prime") suggests that narrator A tells a story about himself. The homodiegetic narrator can be identified as a ***narrating-I***, while A' is an ***experiencing-I***. Stories about oneself are usually called memoirs, autobiographies, or, technically, ***personal experience narratives*** (PEN). The second main type is the heterodiegetic narrative. Here the narrator (on the right, again named A) tells a story about other people, so characters B, C, D, etc. Generally, nowhere in a heterodiegetic story world is there an experiencing-I like the A' that inhabits the homodiegetic story world. The two shaded boxes present typical story beginnings: "Let me tell you the story of how I almost got killed by my brother" is the beginning of a homodiegetic narrative, and "Let me tell you a story. In a hole in the ground there lived a hobbit" is the beginning of a heterodiegetic narrative.[4]

[4] The textual quotes are taken from Labov and Waletzky (1967, 7) and J.R.R. Tolkien, *The Hobbit*. Actually, *The Hobbit*'s first sentence is "In a hole in the ground …"; I have prefaced it by "Let me tell you a story" to draw attention to the fact that a heterodiegetic narrator may freely refer to himself or herself in the first person (see 1-16 for further detail).

1.1.3. Perspective and point of view



1-03. This wonderful cartoon[5] tells a little story – two guys meet and, pointing at an object lying on the ground, quarrel about what they see and who sees it correctly. Guy A claims it is a 6, guy B says it is a 9. We can immediately understand why this is so because we can freely adopt A's or B's point of view and see the object in question just like they do. But, of course, the cartoon offers yet another perspective because we as viewers and also the artist who created the picture see (or saw) the object from the visual perspective of the picture itself. However, unlike A and B we do not have a problem accepting the object as being either a 6 or a 9. --

1-04. There are a number of useful terms that highlight the significant features of this and similar scenarios. Characters shown in the act of perceiving the story world are called ***reflectors***, a term invented by Henry James in 1909 (1937, 300). A and B, in the cartoon, are reflectors – characters presented in such a way that it is easy for us to adopt their point of view, or, as Karl Bühler put it in 1934, ***transpose*** to their point of view. Let us also make use of Daniel Bickerton's distinction between ***online perception*** and ***offline perception***: online perception is what we perceive via our ordinary waking senses; offline perception is what we see in our mind's eye, such as memories, dreams, visions, and other things purely imagined. What the cartoon also shows is that a person's face, body language and behavior can be expressive of a mental state or intention. For instance, in the cartoon, the facial expressions of the reflectors suggest that both are wholly convinced of the correctness of their interpretation and totally unwilling to adopt the other's point of view. With this in mind, we can see that perception and perspective are not only determined by physical factors such as time and place, but also by psychological factors such as state of mind, interest, knowledge, belief, and attitude. The common expression ***mindset*** can be used to refer to dispositions of this kind. Generally, mindsets are idiosyncratic mental structures, some of which have been acquired over long periods of time, but there are also some that are quite general, even proverbial, as when some people have a one-track mind, some cannot see the wood for the trees, the optimist's glass is half full, the pessimist's half empty, and so on.

1.1.4. External and internal perspectives

1-05. The term ***focalization*** refers to a narrator's perspectivization of a story world. As such it is directly related to perceivers, points of view, fields of view, and our ability to transpose to other persons' points of view. Here is a simplified version of the conceptual framework of focalization, where the players are reduced to the figures of the narrator, the recipients, and a reflector character.

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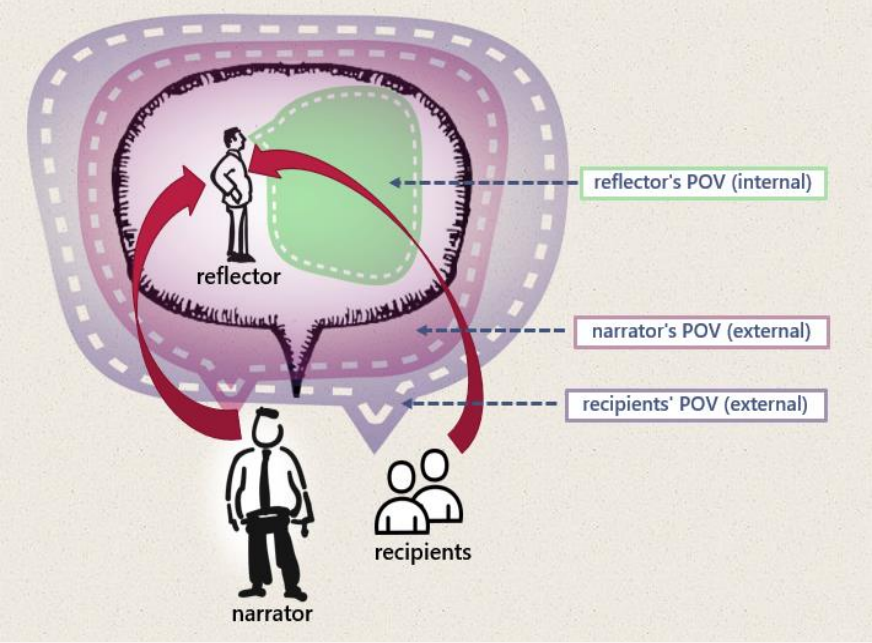
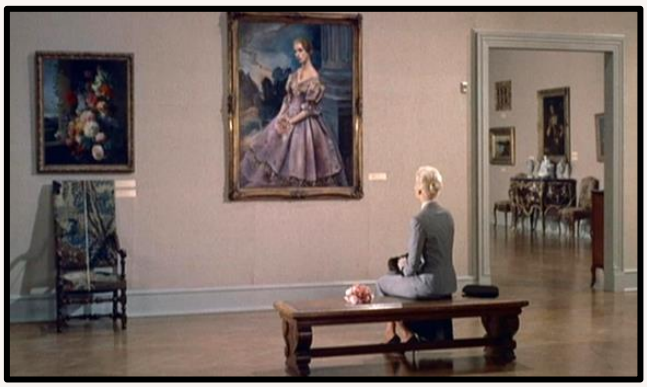
[5] Creative Commons CC BY 4.0 https://creativecommons.org/licenses/by/4.0.



1-06. The reflector's field of view is represented as a green bubble suggesting the perceiver's "colored" and subjective mindset. Once a character is used as a reflector the narrative turns into a ***reflector-mode narrative***, a story told from the point of view of a reflector. Reflector-mode narratives are possible in both homodiegetic and heterodiegetic narratives. In homodiegetic narratives the reflector is the experiencing-I; in heterodiegetic narratives any of the characters may be used as a reflector. When a narrator chooses to use the reflector mode we are invited to transpose to the reflector's point of view. Moreover, to tell a reflector-mode narrative the narrator must also transpose to the reflector's point of view. For this reason, the graphic shows two transposition arrows.

1-07. Of course, narrators and recipients can also transpose to the story here-and-now when there is no reflector or any other character present. If the reflector mode is active then there are three relevant points of view and fields of perception: the narrator's, the recipients', and the reflector's. Reflectors are internal to the story world, creating an ***internal perspective***; narrators and narratees are external to the story world, creating two ***external perspectives***. Note that being external to the story world does not necessarily mean that narrators and narratees are neutral or objective observers – in principle, their perceptions are absolutely subject to time, place, and mindset conditioning, too.

1-08. Feel free to watch the video directly for further discussion of focalization in picture and film and an analysis of the famous museum scene from Alfred Hitchcock's *Vertigo* (also ch9.6 here).



1.2. Analyzing incipits

1-09. In ch1.1.1 we sketched two basic narratological axioms: that all narratives tell a story presenting a sequence of events, and that the story world is populated by characters. We further postulated that stories can be told in the modes of spoken or written text, film, picture, performance, or "multimodal" combinations. In verbally told stories, we have a story-teller, a narrator, who lives outside the story world (even if s/he was once a character in the story world).

Normally, the literature department of a bookshop is subdivided into sections that reflect the

traditional genres – Poetry, Drama, and Fiction. The texts that one finds in the Fiction department are novels and short stories. The passages selected for analysis here are all incipits (beginnings or openings) of novels. They are of particular interest because they must establish a "narrative situation," identify the narrator, and introduce characters and settings (Stanzel 1981, Bonheim 1982, ch6). The reason for focusing on fictional narratives is that novels are an extremely rich and varied medium. Everything you can find in other forms of narrative you also find in the novel; and most of what you find in the novel can also be found in other narrative forms. So let's go to a bookshelf, get out a few novels, open them on page 1, and see what we can do to get a narratological grip on them.

1.2.1. Salinger, *Catcher in the Rye* (1951)

Chapter One

> If you really want to hear about it, the first thing you'll probably want to know is where I was born, and what my lousy childhood was like, and how my parents were occupied and all before they had me, and all that David Copperfield kind of crap, but I don't feel like going into it. In the first place, that stuff bores me, and in the second place, my parents would have about two haemorrhages apiece if I told anything pretty personal about them. They are *nice* and all – I'm not saying that – but they are also touchy as hell. Besides, I'm not going to tell you my whole goddamn autobiography or anything. I'll just tell you about this madman stuff that happened to me around last Christmas before I got pretty run-down and had to come out here and take it easy.

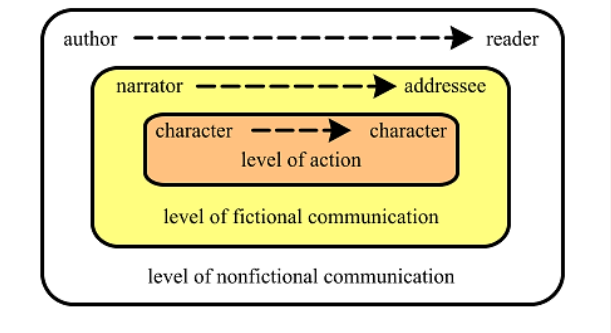
1-10. Note that in a real-life face-to-face story-telling situation, the narrator would be a flesh-and-blood person, somebody who sees us and whom we can see, and hear. But what do we know of a narrator when all we have is lines of print? Can such a narrator have a voice, and if so, how can it become manifest in a text? Even though we cannot actually see or hear the narrator in the present passage, the text contains a number of elements that project a voice. It is not very hard to read it out loud and give it an appropriate intonation, perhaps making it sound like the speech of a teenage boy. If you are familiar with the novel you will know that the narrator, whose name is Holden Caulfield, is actually seventeen. A reader can *hear* a textual voice with his or her mind's ear and mentally *see* the events happening in the story world with his or her mind's eye. All novels project a narrative voice, some more distinct, some less, some to a greater, some to a lesser degree. Obviously, the more information we have on a narrator the more concrete will be our sense of the quality of his or her voice. The story told by Holden is a story about "what happened to me," a neat formula definition of first-person or homodiegetic storytelling. It is a personal experience narrative in which Holden is not only a narrator (the narrating-I) but also a character in the story world (the experiencing-I).

1-11. Which textual elements in particular project a narrative voice? Here is a tentative list of voice markers.

1. Content – obviously, there are naturally and culturally appropriate voices for sad and happy, comic and tragic subjects (though precise type of intonation never follows automatically). It is clear, however, that a phrasing such as "my parents would have about *two* haemorrhages apiece if I told anything pretty personal about them" (in the passage qtd above) uses the tone of, let us say, resigned exaggeration.
2. Subjective expressions – expressions that indicate the narrator's education, his/her beliefs, convictions, interests, values, emotions, attitude towards people, events, and things. In Salinger's text, we do not only get an idea about the narrator's age and background, his discourse is also full of value judgments, terms of endearment, disparagement, and occasional expletives. In the passage quoted he calls his parents "*nice* and all"; he does not want to present a "goddamn autobiography," he alludes to "all that crap" and "madman stuff" that happened to him, and so on.
3. Pragmatic cues – expressions that signal the narrator's awareness of an audience and his or her attitude towards it. Verbal storytelling, like speaking in general, takes place in a social setting comprising a speaker and an audience – or, a bit more generally, an addresser and an addressee, which in narrative texts are equivalent to the narrator and the narratee.

1-12. In the present incipit, the narrator repeatedly addresses an addressee using the second person pronoun *you*. However, if you look (and mentally listen) closely, you will notice that Holden treats his narratee more like an imagined audience than like somebody who is physically present. For instance, he is careful to say "if you really want to hear about it … you'll probably want to know," so at this point, we cannot tell whether Holden has a particular narratee in mind or whether he addresses a more general, perhaps merely abstract or hypothetical audience ("you" can be singular or plural). Some critics assume that Holden's addressee is a psychiatrist, and that "here," the story-here where Holden can "take it easy" after all that "madman stuff," refers to a mental hospital. At any rate, it clearly makes a difference whether the narrative is uttered as a private or a public communication, to a present or an absent audience.

1-13. Note that there is one specific audience that neither Holden nor any other narrator in fiction can ever be aware of, and that is us, the audience of real readers. We are reading Salinger's novel, not Holden's – actually, Holden isn't writing a novel at all, he is telling a tale of personal experience. The novel's text projects a narrative voice, but the text's narrator is temporally, spatially, and ontologically distant from us. Ontologically distant means he belongs to a different world, a fictional world. Fictional means invented, imaginary, not real. The narrator, his/her addressee, the characters in the story – they are all "paper beings" (as Barthes)1975, 261) calls them), beings invented by Salinger, the novel's author. Salinger's novel is a novel about a narrator named Holden, who is telling a story of personal experience. The levels of fictional narrative communication are nested as in the "Chinese box" pictured below.



Communicative contact takes place between (i) author and reader on the level of nonfictional communication, (ii) narrator and addressee(s) on the level of fictional communication, and (iii) characters on the level of action. Normally, the levels are hermetically sealed and the boundaries that separate them indicate thresholds of control and knowledge.

1.2.2. Margaret Drabble, *The Millstone* (1965)

1-14. Let us look at another instance of homodiegetic narration and use it to introduce Stanzel's (1979) notion of "narrative situations." To save on space, I am inserting a few spontaneous comments.

> My career ***[aha, another story of personal experience]*** has always been marked by a strange mixture of confidence and cowardice: almost, one might say, made by it ***[topic sentence probably spoken in the tone of reflective comment]***. Take for instance ***[the imperative is aimed at a narratee and announces an illustration to the foregoing generalization]***, the first time I tried spending a night with a man ***[so, presumably this is a female voice]*** in a hotel. I was nineteen at the time ***[the age of the experiencing-I, the present narrating-I is clearly older and more advanced on her "career"]***, an age appropriate for such adventures, and needless to say I was not married. I am still not married ***[further self-characterization of the narrating-I]***, a fact of some significance ***[narrating-I highlighting what's going to be "significant"]***, but more of that later. The name of the boy, if I remember rightly ***[narrator's mental activity is remembering]***, was Hamish. I do remember rightly ***[self-conscious correction]***. I really must try not to be deprecating ***[value judgment suggesting tone of voice]***. Confidence, not cowardice, is the part of myself which I admire, after all. Hamish and I had just come down from Cambridge at the end of the Christmas term: we had conceived our plan well in advance …. ***[all of this is background action and therefore set in the past perfect tense but the***

narrator will soon shift into ordinary past-tense action presentation].

Drabble's novel, like Salinger's, is a homodiegetic narrative on the strength of the fact that the narrator has an experiencing-I that is present as a character in the story world. This, according to Stanzel, creates the framework of a "narrative situation" which is defined by default conditions, expectations, and implications. In this case, we immediately recognize that the narrator tells a story about experiences that shaped and changed her life and made her what she is today. Both the narrating-I and the experiencing-I are restricted to subjective points of view, they have no direct access to events they did not witness in person, they cannot ever have been in two places at the same time, and they have no way of knowing for certain what goes on in the minds of other people (the famous Other Minds problem much discussed in philosophy and cognitive science). It is obvious that a narrator's handling of these conditions can tell us a lot about features such as the quality of his or her voice, the probable plot of the story, and the motivation for telling it.

1.2.3. George Eliot, *Adam Bede* (1859)

1-15. Consider the following incipit and decide for yourself whether it is a first-person or a third-person narrative. Watch out for a trap. Again I am adding a few annotations.

CHAPTER I
THE WORKSHOP

> With a single drop of ink for a mirror, the Egyptian sorcerer undertakes to reveal to any chance comer far-reaching visions of the past. This is what I undertake to do for you, reader. ***[References to narrator and reader, also a "metanarrative comment" because the narrator explicitly describes an intended effect of her storytelling.]*** With this drop of ink at the end of my pen I will show you the roomy workshop of Mr. Jonathan Burge, carpenter and builder in the village of Hayslope, as it appeared on the eighteenth of June, in the year of our Lord 1799. ***[Deliberate, narratee-conscious exposition of time and place of action (also referred to in chapter subheading).]***
>
> The afternoon sun was warm on the five workmen there, busy upon doors and window-frames and wainscoting. A scent of pine-wood from a tent-like pile of planks outside the open door mingled itself with the scent of the elder-bushes which were spreading their summer snow close to the open window opposite .... [A] rough grey shepherd-dog ... was lying with his nose between his forepaws, occasionally wrinkling his brows to cast a glance at the tallest of the five workmen, who was carving a shield in the centre of a wooden mantelpiece. It was to this workman that the strong baritone belonged which was heard above the sound of plane and hammer ....

1-16. It is actually the beginning of a heterodiegetic/third-person novel – which you may find surprising because, after all, the text contains no less than three first-person pronouns (two "I"s, one "my"), all in the first paragraph. Unfortunately, the local presence of first-person pronouns is not enough to establish a text as a first-person narrative. Any narrator can refer to him- or herself using the first-person pronoun. The only feature relevant for determining whether texts are homodiegetic or heterodiegetic is the relation of their narrators to their story – if they have an experiencing-I that is present in the story world they are homodiegetic; if they are absent from it they are heterodiegetic (ch1.1.2). In the current passage, the story gets going in the second paragraph, and the characters are third-person characters. Any first-person pronoun coming up on the level of the story here-and-now would be significant indeed because it would signal the presence of an experiencing-I. But nothing like that happens. As a matter of fact, we'd all be a little surprised if the second paragraph began with the words "The afternoon sun was warm on the five workmen there, and I was one of them."

The first paragraph provides us with information on the background setting of the story, uttered by a narrator with a very distinctive voice, which, however, is not a remembering voice like the one in the Drabble incipit. Instead, the self-assured and self-assertive voice that we hear belongs to what Stanzel calls an "authorial" narrator. In fact, this narrator's position outside the story world makes it easy for us to accept what we would never accept in real life: that somebody should have unlimited knowledge and authority. Indeed, authorial narrators typically assume the power of omniscience – knowing everything – as if this were the most natural thing in the world.

They can speak directly to their addressees, and they can liberally comment on action, characters, and storytelling itself (as this narrator does). An authorial narrator's comprehensive world-view is particularly suited to reveal the characters' strengths and weaknesses and allows them to pursue a moral or didactic agenda. Typical authorial texts are the 19C novels of social realism by authors such as George Eliot, Charlotte Brontë, Charles Dickens, and Thomas Hardy. Note, again, that the implications inherent in Stanzel's narrative situations usefully complement the formal categories defined by Genette.

1.2.4. Cozzens, *A Cure of Flesh* (1933)

1-17. While all the excerpts quoted so far projected a range of distinctive narrative voices, the following incipit demonstrates that this may not always be the case.

> ONE
>
> THE snowstorm, which began at dawn on Tuesday, February 17th, and did not stop when darkness came, extended all over New England. It covered the state of Connecticut with more than a foot of snow. As early as noon, Tuesday, United States Highway No. 6W, passing through New Winton, had become practically impassable. Wednesday morning the snow-ploughs were out. Thursday was warmer. The thin coat of snow left by the big scrapers melted off. Thursday night the wind went around west while the surface dried. Friday, under clear, intensely cold skies, US6W's three lane concrete was clear again from Long Island Sound to the Massachusetts line.

Contrast this to the voices that we heard in the previous texts. In the Salinger passage, for instance, we were given plenty of information about the pragmatic parameters of the narrative situation: the narrator was addressing a narratee, and there were clear indications of the narrator's language and emotional makeup. None of this can be found in the present passage. Knowing the rest of the novel, I can tell you that we will never learn the narrator's name, he[6] will never use the first-person pronoun to refer to himself, and he will never directly address his narratee. Yet we can recognize well enough that this is a narrator who begins his narrative with a reader-friendly exposition of the current setting of the story world. To do this he picks out a series of points in time, spanning a four-day window of Tuesday to Friday, and the locations are identified as New England, Long Island Sound and the Massachusetts line. Summary as the picture painted is, we can easily connect the spatial and temporal dots to obtain a fair amount initial information (even though we are not told which year it is – presumably the story world's "current" one). This is actually what narrators are expected do if their aim is to enter into cooperative communication with their narratees. In ordinary circumstances, narrators act on assumptions about their readers' knowledge, intellectual capacities, interests, etc. On that basis, Cozzens's narrator presents a sequence of succinct statements which very adequately serve a reader's needs. In order to read the passage out loud a matter-of-fact intonation would seem appropriate. At any rate, compared to *Adam Bede*, the narrator's presence and audibility is notably less distinctive.

1.2.5. Hemingway, For Whom the Bell Tolls (1943)

1-18. As we have seen, the narrator's audibility is best understood as being a matter of degrees. Following Chatman (1978), narratologists often use the oppositional terms "overtness" and "covertness" to characterize narratorial voices, adding whichever gradation is needed. For instance, both Holden Caulfield and Cozzens's anonymous narrator are overt narrators, but Holden is the more overt (and at the same time the less covert) one of the two. While it may be difficult to imagine somebody speaking or writing without projecting any voice at all, consider the following incipit.

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[6] Lanser's Rule (3-04) will be observed throughout: if the narrator is nameless, I will use a pronoun that reflects the sex/gender of the real-life author. Cozzens is a male author and therefore I refer to the covert narrator in the passage as "he".

1-19.

CHAPTER ONE

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

"Is that the mill?" he asked.

"Yes."

1-20. In this passage, the narrator's voice is much harder to pinpoint than in all the previous examples. There are three reasons for this:

1. We do not get any of the expressivity markers that normally project a distinctive narratorial voice – no first-person self-reference, no value judgments, exclamations, expletives, indications of moral agenda or purpose, nothing of the sort.
2. In certain respects, the narrator is not a cooperative storyteller. He does not acknowledge any actual or hypothetical addressee(s), he does not provide a reader-friendly exposition, which is normally expected at the beginning of a novel. After all, setting and characters have to be introduced somehow. Thus far into the text, however, we don't know where we are, we don't know who the characters are, how many there are, or what they are doing there. And, incidentally, if you think they are speaking English – as you are bound to, what choice have you got? – you are dead wrong. The only thing one knows at this point is that the scene opens in some natural setting, a hilly terrain evidently, that it is daytime, and that there are at least two characters talking to each other.
3. The main point, however, is that the narrator seems to foreground the main character whom we encounter even in the first word of the text – a "referentless pronoun" that suggests that the character is used in the function of a reflector. Note how minutely, from moment to moment, the text records this character's perceptual processes – the things he sees, feels, and hears (often cleverly suggested by terms such as the "pine-needled floor," the "gently sloping" ground, the wind blowing "overhead"). It won't take long and the text will also render the reflector's thoughts, intentions, and memories, in short, the whole subjective landscape of his consciousness. Then we will also – but always incidentally, as it were – learn more about the story's background – that it is set in the Spanish civil war, that the two characters are engaged in reconnoitering enemy territory, etc. Note how easy it would have been for a cooperative narrator to indicate that the characters are communicating in Spanish – a simple "Sí" instead of a "Yes" would have been an excellent clue, for instance. But the narrator does not do it. And yet you can be dead certain that Hemingway the author knows exactly what he is doing by using such a reticent and covert narrator. Certainly, no critic would be silly enough to say this is a bad story incipit.

The configuration here is strikingly different from what we find in an authorial text. According to Stanzel, once a reflector becomes a "figural medium" we are dealing with a "figural narrative situation." And the reading experience of a figural novel is a remarkable one. To begin with, the relative covertness of the narrator creates an effect of directness and immediacy. Furthermore, because the text is so strictly aligned with a character's spatiotemporal co-ordinates and mindset, the reader is invited to transpose to the story world and co-experience what it is like to be a participant in the events. The full power of figural techniques was first explored in the novels and short stories of 20C authors such as Henry James, Franz Kafka, Dorothy Richardson, Katherine Mansfield, Virginia Woolf, James Joyce. What these authors wanted to achieve was an unmediated access to their characters' consciousness. Backgrounding the narrator's voice, they used a reflector's perceptions and thoughts to present the story's events.

1.2.6. Aldous Huxley, *Chrome Yellow* (1921)

Chapter One

Along this particular stretch of line no express had ever passed. All the trains – the few that there were – stopped at all the stations. Denis knew the names of those stations by heart. Bole, Tritton, Spavin Delawarr, Knipswich for Timpany, West Bowlby, and, finally, Camlet-on-the-Water. Camlet was where he always got out, leaving the train to creep indolently onward, goodness only knew whither, into the green heart of England.

They were snorting out of West Bowlby now. It was the next station, thank Heaven.

Denis took his chattels off the rack and piled them neatly in the corner opposite his own. A futile proceeding. But one must have something to do. When he had finished, he sank back into his seat and closed his eyes. It was extremely hot.

Oh, this journey! It was two hours cut clean out of his life; two hours in which he might have done so much, so much – written the perfect poem, for example, or read the one illuminating book. Instead of which – his gorge rose at the smell of the dusty cushions against which he was leaning.

1-21. This is clearly a heterodiegetic incipit, but you may wonder whether to categorize it as an authorial text like Eliot's or Cozzens's or a figural one like Hemingway's. Decide for yourself, but make sure to consider the whole of the passage. On the face of it, it does start out just like an authorial text, with, seemingly, an authorial narrator providing bits of reader-friendly information on setting and railway lines, similar in tone to the Cozzens incipit. But there is a crucial difference because what happens next is that the text introduces a character named Denis, who clearly functions as a reflector. As a matter of fact, *all* the information we get (retrospectively even the information contained in the first sentence) can be attributed to what Denis knows, sees, hears, smells, feels, thinks, and remembers. Using Denis as a reflector, the narrator remains near-covert himself, thereby inviting the reader to transpose to the reflector's point of view and co-experience Denis's current perceptions. Many subjective expressions and constructions indicate Denis's general mood of dissatisfaction and tedium, and this special state of mind is reflected even in the train's metaphorical "creep[ing] indolently onward, goodness only knew whither" and its "snorting out of West Bowlby." Later in the excerpt it becomes even plainer that all judgments and emotions expressed in the text, often by using the character's own voice quality, are strictly aligned to Denis's uniquely colored mindset. So, despite the slightly ambiguous beginning, the incipit should be recognized as a figurally perspectivized rendering of the story world.

1.2.7. Jane Austen, *Emma* (1816)

1-22. It can be a rewarding exercise to look out for the presence of a potential or latent reflector. Consider the following incipit that, while perfectly easy to read, merits careful analysis.

CHAPTER 1

EMMA WOODHOUSE, handsome, clever, and rich, with a comfortable home and happy disposition, seemed to unite some of the best blessings of existence; and had lived nearly twenty-one years in the world with very little to distress or vex her.

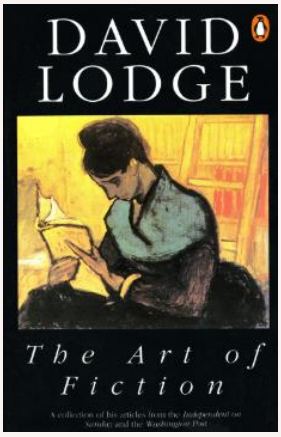
She was the youngest of the two daughters of a most affectionate, indulgent father, and had, in consequence of her sister's marriage, been mistress of his house from a very early period. Her mother had died too long ago for her to have more than an indistinct remembrance of her caresses, and her place had been supplied by an excellent woman as governess, who had fallen little short of a mother in affection.

Sixteen years had Miss Taylor been in Mr Woodhouse's family less as a governess than a friend, very fond of both daughters, but particularly of Emma. Between them it was more the intimacy of sisters. Even before Miss Taylor had ceased to hold the nominal office of governess, the mildness of her temper had hardly allowed her to impose any restraint; and the shadow of authority being now long passed away, they had been living together as friend and friend very mutually attached, and Emma doing just what she liked; highly esteeming Miss Taylor's judgment, but directed chiefly by her own.

The real evils indeed of Emma's situation were the power of having rather too much her own way, and a disposition to think a little too well of herself; these were the

disadvantages which threatened alloy ***[impairment]*** to her many enjoyments. The danger, however, was at present so unperceived, that they did not by any means rank as misfortunes with her.

1-23. Plainly enough, this is an authorial exposition, introducing Emma and her governess, Miss Taylor. The narrator's careful description of Emma is partly positive, partly negative, and partly ambivalent. Emma herself is not a reflector *yet*, but one can already speculate that she has the potential to become one, which indeed is what happens in the further course of the novel. Some critics argue that even the present incipit already anticipates two points of view and sounds two voices, often both in one sentence. We must in fact balance the judgments flowing from the narrator's external perspective against those emanating from Emma's own colored perception, and in time we will have to build the external-internal perspectivization framework sketched in ch1.1.4. The following close reading of author-critic David Lodge nicely disentangles the text's authorial and figural aspects:



> Jane Austen's opening is classical: lucid, measured, objective, with ironic implication concealed beneath the elegant velvet glove of the style. How subtly the first sentence sets up the heroine for a fall. … "Handsome" (rather than conventionally pretty or beautiful …), "clever" (an ambiguous term for intelligence, sometimes applied derogatively, as in "too clever for her own good") and "rich," with all its biblical and proverbial associations of the moral dangers of wealth; these three adjectives, so elegantly combined (a matter of stress and phonology – try rearranging them) encapsulate the deceptiveness of Emma's "seeming" contentment. … [I]nterestingly enough, we begin to hear the voice of Emma herself in the discourse, as well as the judicious, objective voice of the narrator. … [W]e seem to hear Emma's own, rather self-satisfied description of her relationship with her governess, one which allowed her to do "just what she liked." (1992, 5)

Many narratologists believe that *Emma* is the very first English figural novel, or at any rate the first novel that allows a character to come close to reaching reflector status and function. Stanzel's own, slightly more cautious view is that *Emma* is a borderline case exhibiting a mix of authorial and figural features – a thesis strongly supported by Lodge's analysis.

1.2.8. Raymond Chandler, *The High Window* (1943)

1-24. Homodiegetic texts are characterized by the congruent or conflicting mindsets of the narrating-I and the experiencing-I (or as Cohn 1978 says, the "consonant" or "dissonant" voices of the two I's). If the narrating-I chooses to use the experiencing-I as a local or constant reflector the text becomes a first-person reflector-mode narrative. The following incipit illustrates this configuration.

Chapter One

THE house was on Dresden Avenue in the Oak Knoll section of Pasadena, a big solid cool-looking house with burgundy brick walls, a terra-cotta tile roof, and a white stone trim. The front windows were leaded downstairs. Upstairs windows were of the cottage type and had a lot of rococo imitation stonework trimming around them. ***[Experiencing-I's perceptions and first impressions]***

From the front wall and its attendant flowering bushes a half-acre or so of fine green lawn drifted in a gentle slope down to the street, passing on the way an enormous deodar ***[= East Indian cedar]*** around which it flowed like a cool green tide around a rock. … There was a heavy scent of summer on the morning and everything that grew was perfectly still in the breathless air they get over there on what they call a nice cool day.

All I knew about the people ***[experiencing-I's knowledge]*** was that they were a Mrs Elizabeth Bright Murdock and family and that she wanted to hire a nice clean private detective who wouldn't drop cigar ashes on the floor and never carried more than one gun. And I knew she was the widow of an old coot with whiskers named Jasper Murdock

> who had made a lot of money helping out the community, and got his photograph in the Pasadena paper every year on his anniversary, with the years of his birth and death underneath, and the legend: His Life Was His Service. ***[Experiencing-I's ironical judgment]***
>
> I left my car on the street and walked over a few dozen stumbler stones set into the green lawn, and rang the bell in the brick portico under a peaked roof.

Again we encounter a mix of elements, some serving the narrating-I's purpose of providing reader-friendly exposition, others expressing the experiencing-I's current perceptions, his limited knowledge given the current story here-and-now, and his colored – largely sarcastic – judgment. Transposing to the experiencing-I's point of view is easily done, both by the narrating-I and the reader. In fact, the text is so close to a figural text that by simply changing the first-person pronouns to third-person ones would make it one.

1.2.9. Summary

1-25. The following table makes an attempt to summarizes the findings presented in this section. Note the occasional use of non-binary values for degrees of presence and overtness. Of course, the values are likely to change when moving beyond the limits of the incipits.

	Text type homodiegetic: 1 heterodiegetic: 3	Narrator's overtness covert: 0 overt: 1	Reflector absent: 0 present: 1
Salinger	1	1	0
Drabble	1	1	0
Eliot	3	1	0
Cozzens	3	0.8	0
Hemingway	3	0	1
Huxley	3	0	1
Austen	3	1	0.1 ?
Chandler	1	0.3 ?	1

* *

This is the end of the Getting Started section, and I am sorry to say that the rest of this document will be much rougher going – often, one definition will simply chase another. Remember that being able to identify whether a text X is homodiegetic or heterodiegetic, or authorial or figural, or what not, is fine, but not enough. What really matters is that these concepts come with an infrastructure of assumptions, expectations, implications, and, often enough, questions. Hopefully, they all open the door to fruitful and enlightening narratological analysis.

2. The narratological framework

2.1. Background and basics

2-01. Luckily we can boil the vastly complex field of narratology down to the question "Who narrates what how?" This allows us to make use of the following multi-part mind map (underlined items clickable).

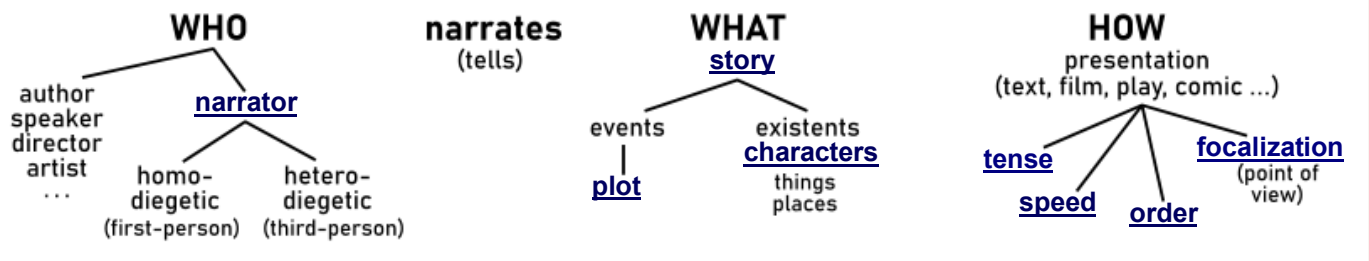


Fig. 2. WHO narrates WHAT HOW?

On the text-external level, WHO is the author (or some other media-specific creative instance); on the text-internal level, WHO is the narrator. Narrators come in two types, homodiegetic and heterodiegetic ones (telling first-person and third-person stories, respectively). WHAT do narrators do? They narrate, tell a *story*. Stories present a story world that is made up of characters, things, and events. Events have a chronological and a causal order (the latter is the plot). The HOW of narrative discourse is determined by choice of tense (past, present), speed (slow, normal, fast), event ordering (chronological, non-chronological), and point of view (internal, external focalization).

Note that our mindmap can be vastly enriched by adding further question-words or phrases. For instance, we could ask Who tells what TO WHOM (target audience: adults, children); WHY (for which purpose: entertainment, education, argument); TO WHAT EFFECT (laughter, guidance, tears); IN WHICH SITUATION? (schoolroom, courtroom, doctor's office, political rally), and so on. Widening the field in this manner is actively pursued by much of recent narratological research. Note that the terms listed here, especially narrator and discourse, relate to verbally told stories; once the scope is expanded to encompass genres like comic strip, film, drama, opera, radio play etc many of the concepts and definitions need to be adjusted (and in many of these areas this is still work in progress).

2-02. As a discipline, narratology began to take shape in 1966, the year in which the French journal *Communications* published its special issue 8, entitled "The structural analysis of narrative" – which still happens to be a concise working definition of narratology. The term *narratology* itself was coined three years later, by Tzvetan Todorov, one of the contributors to that special issue.

- ***narratology*** The theory of the structures of narrative. In order to create a structural description of narrative the narratologist dissects the narrative phenomena observed into their component parts and then attempts to determine functions and relationships (Todorov 1969, 9). (However, many modern approaches are "poststructuralist" and prefer a wider pragmatic and cognitive methodology.)

2-03. Many narratologists today consider ***natural narratives*** such as occur in everyday conversation to be the most elemental and prototypical instances of storytelling. Natural storytelling is an event in which the participants are flesh-and-blood persons engaged in direct communication. In contrast, in written narratives neither narrator nor reader can see or hear the other. However, even for writers and readers the absent party is usually perceived as an imaginary presence. Readers can re-create a mental image of the narrator from lines of text. The idea that readers habitually re-create the prototypical storytelling scenario of natural narratives is the main tenet of ***natural narratology*** as laid out by Fludernik (1996). We made use of the natural narrative hypothesis in our analysis of incipits in ch1.2, where one of our tasks was to abstract narrators' voices from written texts.

2-04. Ultimately, the roots of narratology, like the roots of all Western theories of fiction, go

back to Plato's (428-348 BCE) and Aristotle's (384-322 BCE) distinction between "mimesis" (imitation) and "diegesis" (narrative representation). Chatman (1990, ch7) uses these concepts to distinguish diegetic narrative genres (epic narratives, novels, short stories) from mimetic narrative genres (plays, films, cartoons); most commentators, however, follow Genette's decision (1972, ch4; 1988, 49) to treat narrative fiction as a patchwork of mimetic and diegetic parts, mainly to be divided into a "narrative of words" (speech and dialogue) and a "narrative of events" (1988, 43).

2-05. Practically all theories of narrative distinguish between WHAT is narrated (the story) and HOW it is narrated (the discourse). Some theorists, among them Genette, opt for a narrow meaning of the term narrative, restricting it to verbally narrated texts (Genette 1988, 17); others (Barthes 1966, Chatman 1990, Bal 1985) argue that anything that tells a story, in whatever genre or form, constitutes a narrative. It is this latter view which is adopted here (see 2-11 for a detailed taxonomy of forms). Our main definitions are as follows:

- ***narrative*** Anything that tells or presents a story, be it by oral or written text, picture, performance, or a combination of these. Narratives can be found in conversation, jokes, novels, plays, films, comic strips, blogs, etc.
- ***story*** A sequence of events involving characters. Events include both natural and non-natural happenings (such as floods and car accidents). Characters get involved by being agents (causers of events), patients or beneficiaries (affected by events).

See Ryan (2006, 8) for a more detailed definition of narrative listing eight conditions of narrativity. In critical practice, the words "events" and "action" are often used synonymously. Schmid (2010, ch1) introduces the finer distinction between general "happenings" and story-relevant "events," the latter defined as unexpected major incidents.

2-06. According to the Swiss linguist Ferdinand de Saussure (the founding-father of structuralism), any sign consists of a "signifier" and a "signified" – basically, a tangible form *or* substance and a non-tangible meaning. If we take a narrative text to be a complex sign its signifier is the narrative discourse and the signified is the story. On this basis, narratological analysis usually pursues one of two main orientations:

- ***discourse narratology*** analyzes the stylistic choices that determine the form or realization of a narrative text (or performance, in the case of films and plays). Also of interest are the pragmatic features that contextualize a text or a performance within the social and cultural framework of a communicative narrative act.
- ***story narratology*** focuses on the action units that "emplot" and arrange a stream of events into a trajectory of themes, motives, and plot lines (Bremond 1970, Prince 1982, Pavel 1985a, Ryan 1991). The notion of emplotment plays a crucial role in the work of the historian Hayden White and cultural philosophers such as Paul Ricoeur and Michel Foucault.

Further on the story/discourse distinction see Jakobson (1970 – French terms *enoncé* and *enonciation*), Dolezel (1973: Introduction); Sacks et al. (1974 – narrative vs conversational turns); Culler (1975a); Chatman (1978, ch1); Genette (1980, 164-69; Genette (1988, 18, 61-62, 130); Lintvelt (1981, ch4.6.2); Bal (1977); Fludernik (1993, ch1.5 – survey of story and discourse models); Schmid (2010, ch5).

2-07. The main tenets of ***classical discourse narratology*** are well presented in the writings of Genette, Stanzel, Chatman, Cohn, Bal, Rimmon-Kenan, Lintvelt, Sternberg, and Fludernik. Most of the monographs published in narratology's classical period – the 1970's and 80's – are still good introductions to the field, especially Genette (1972), Chatman (1978), Cohn (1978), Sternberg (1978), Todorov (1981), Prince (1982), Stanzel (1979), and Bal (1985), many of them available as reprints. Particularly useful are Rimmon-Kenan's survey (1983, revised 2002), Prince's (1987, revised 2003) dictionary of terms, Onega and Garcia Landa's (1996) reader (containing reprints of foundational essays), the critical surveys by O'Neill (1994) and Nelles (1997), also the linguistics-oriented account (with exercises) in Toolan (2001).

2-08. Most recent narratological approaches fall under the category of ***postclassical narratology*** as discussed in David Herman ed (1999), L. Herman and Vervaeck (2005), and Alber and Fludernik (2010). Today's narratological branches include (among others): ***psychoanalytic narratology***

(Brooks 1984), ***historiographic narratology*** (Cohn 1999), ***possible worlds narratology*** (Ryan 1991, 1998; Ronen 1994; Gutenberg 2000), ***legal narratology*** (Brooks and Gewirtz eds 1996), ***feminist narratology*** (Warhol 1989; Lanser 1992; Mezei ed 1996), ***gender studies narratology*** (Nünning and Nünning eds 2004), ***cognitive narratology*** (Perry 1979, Sternberg 1978, Jahn (1997), ***natural narratology*** (Fludernik 1996), ***postmodernist narratology*** (McHale 1987, 1992; Currie 1998), ***rhetorical narratology*** (Phelan 1996, 2017, Kearns 1999), ***cultural studies narratology*** (Nünning 2000), ***transgeneric and transmedial narratology*** (Nünning and Nünning eds 2002, Hühn 2004, Ryan and Thon eds 2014, Thon 2016), ***political narratology*** (Bal ed 2004), ***psychonarratology*** (Bortolussi and Dixon 2003 [an empirical approach]), ***unnatural narratology*** (Alber and Richardson eds 2020), ***econarratology*** (James and Morel eds 2020, ***critical race narratology*** (Weik von Mossner ed 2023). See Ionescu (2019) for a more detailed survey.

2-09. Current researchers emphasize the openness of the discipline, particularly vis à vis linguistics (Fludernik 1993a), cognitive science (Duchan et al 1995), artificial intelligence (Ryan 1991) and pragmatics (Pratt 1977, Lanser 1981, Adams 1996). For an encyclopedic survey of approaches and trends in modern and ancient narrative theory see the *Routledge Encyclopedia of Narrative Theory* (Herman, Jahn, Ryan eds 2005). For a massive 1712pp collection of foundational essays see Bal ed (2004 – vol. 1: Major Issues in Narrative Theory; vol. 2: Special Topics; vol. 3: Political Narratology; vol. 4 Interdisciplinarity). Recent studies include Abbott (2002), a dedicated transgeneric approach containing chapters on "narrative and life" (ch1), narrative rhetoric, cultural masterplots (ch4), closure (chs 5 and 12), "overreading and underreading" (ch7), David Herman (2002), an investigation of the cognitive, stylistic, and linguistic basics of narratology, Marie-Laure Ryan ed (2004), a collection of essays on cross- and transmedial forms such as pictures, music, cinema, and computer games, more recently continued in Ryan (2006) (ch I: Narrative in Old Media, ch II: Narrative in New Media), also Ryan and Thon eds (2014). Leech and Short (2007) pursue a dedicated linguistic approach. New general introductions can be found in Fludernik (2009) Schmid (2010), Meister (2014). *Narratologia* is a series published by de Gruyter; its count of book-length studies currently stands at 94 (full list of titles here).

2.2. Internet sources

- NARRNET, the European Narratology Network, a website maintained by the U of Hamburg, Germany. Among the services offered are an extensive bibliography, a list of researchers, current projects, events, links, and discussion forums.
- LHN: The Living Handbook of Narratology. A part of NARRNET, LHN is a dynamically updated and collection of "articles on concepts and theories fundamental to narratology and to the study of narrative in general." All entries can be downloaded as PDF docs.
- ISSN, the International Society for the Study of Narrative, organizes huge annual conferences. Browsing is free but membership requires a subscription to the journal *Narrative*.
- ENN, the European Narratology Network, hosts bi-annual conferences and provides links to various resources. Membership is free.

Note that the conference programs published by ISSN and ENN are excellent pointers to up-to-date research projects and developments.

2.2. Types and genres of narratives

2-10. So far we have only alluded to just a few representative forms of narrative. But arguably, narrative has a far wider scope. Consider the famous list submitted by Roland Barthes (from his seminal contribution in *Communications* 8 (as mentioned in 2-02)):

> There are countless forms of narrative in the world. First of all, there is a prodigious variety of genres, each of which branches out into a variety of media, as if all substances could be relied upon to accommodate man's stories. Among the vehicles of narrative are articulated language, whether oral or written, pictures, still or moving, gestures, and an ordered mixture of all those substances: narrative is present in myth, legend, fables, tales, short stories, epic history, tragedy, drame [suspense drama], comedy, pantomime, paintings (in Santa Ursula by Carpaccio, for instance), stained-glass windows, movies, local news, conversation. Moreover, in

> this infinite variety of forms, it is present at all times, in all places, in all societies; indeed, narrative starts with the very history of mankind; there is not, there has never been anywhere, any people without narrative; all classes, all human groups, have their stories, and very often those stories are enjoyed by men of different and even opposite cultural backgrounds …. (Barthes 1975, 237)

2-11. Here is a taxonomy which imposes a kind of order on Barthes's loose list of narrative "forms, genres, and media"

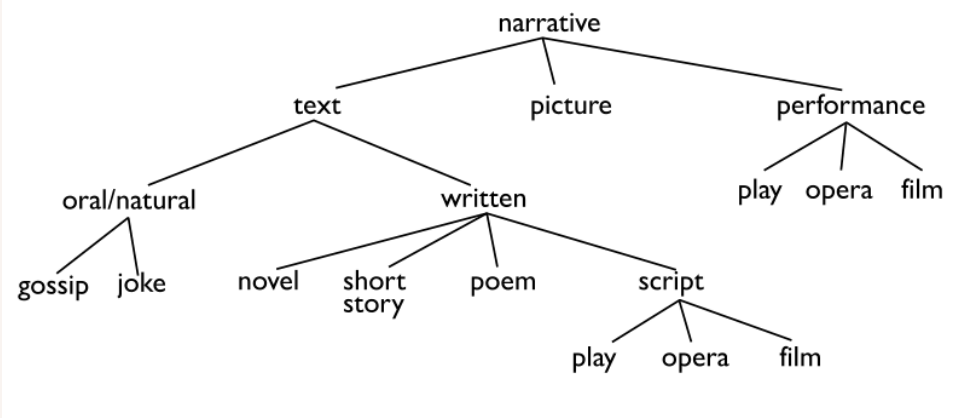


Fig. 3. Taxonomy of narrative forms, genres, and media.

Obviously, this diagram is not exhaustive but it does list a fair number of representative and typical genres. Actually, it might be a good idea to add many additional "other" nodes to the tree – empty slots that can accept any new form that might come up (this is the way Chatman 1990, 115 handles it). If you come across a genre not yet accounted for by any branch or node of the tree – say, musical, comic strip, radio play, blog, audiobook etc – try fitting it in as best as possible.

2-12. As noted above, narratology today is concerned with all types of narratives, literary and nonliterary, verbal and nonverbal. Another major distinction is that between fictional and nonfictional narratives:

- A ***fictional narrative*** presents an imaginary narrator's account of a story that happened in an imaginary world. A fictional narrative is appreciated for its entertainment and educational value, possibly also for providing a vision of characters who might exist or might have existed, and a vision of things that might happen or could have happened. Although a fictional narrative may freely refer to actual people, places, and events, it cannot be used as evidence of what happened in the real world.
- A ***nonfictional narrative*** (also ***factual narrative***) presents a real-life person's account of a real-life story. Unless there are reasons for questioning an author's credibility, a factual narrative can serve as evidence of what happened in the real world. In principle, the author of a factual narrative is accountable for the truth of its statements and the question *How do you know*? is always a legitimate one.

See Genette (1990), Fludernik and Ryan eds (2020), and Fülöp ed (2021). Because of the systematic relatedness of these concepts, many factual narratives such as historiographic texts or biographies have fictional counterparts (historiographic fiction, fictional biographies, etc) (Cohn 1999). On the notion of ***panfictionality*** (meaning, no matter how factual a narrative claims to be, every narrative involves a narrator's imaginative recreation and in that sense is close to fiction) see Ryan (1997b).

2-13. Just for illustration, here is an incomplete list of narrative forms and genres.

- ***narrative of personal experience (***also called ***personal experience narrative: PEN)*** Labov's (1972) famous analysis of a corpus of stories based on interview questions such as "Were you ever in a situation where you were in serious danger of being killed?"
- ***biblical narratives*** Kermode (1979); Sternberg (1985); Bal (1987, 1988)

- ***teacher's narratives*** Cortazzi (1993)
- ***children's narratives*** Applebee (1978); Branigan (1992, 18-19)
- ***medical narratives (doctors/patients)*** Hunter (1993), Gülich (2020), King and Kindt (2024)
- ***family narratives*** Flint (1988); Jonnes (1990); *Style* 31.2 (1997) [special issue, ed John Knapp]
- ***courtroom narratives/legal narratives*** Brooks and Gewirtz, eds. (1996); Posner (1997)
- ***prison narratives*** Fludernik and Olson, eds. (2004)
- ***historiographic autobiography/fictional autobiography*** Lejeune (1989); Cohn (1999, ch2); Löschnigg (1999)
- ***hypertext narratives*** Ryan (1997a)
- ***musical narratives*** McClary (1997); Wolf (1999); Kafalenos (2004); 2021 Brussels conference program with abstracts
- ***filmic narratives*** Kozloff (1988); Chatman (1978; 1990); Bordwell (2004), see also author's film page pppf.pdf
- ***mental (or "internal") narratives*** Schank (1995); Ricoeur (1991); Turner (1996); Jahn (2003)

2.3. Narrative communication

2-14. As already demonstrated in 1-13 of the Getting Started section, literary narrative communication involves the interplay of at least three communicative levels. Each level of communication comes with its own set of addressers and addressees.

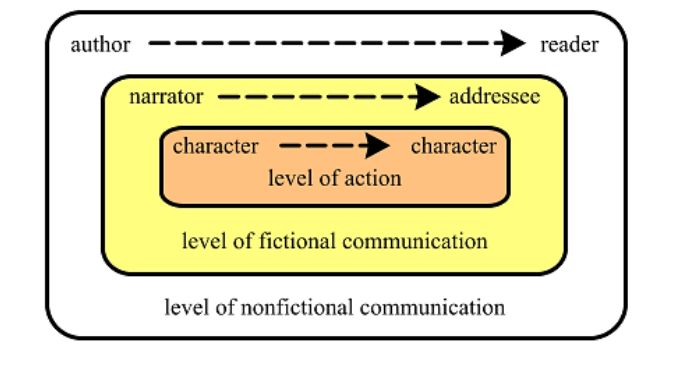


Fig. 4. Levels of narrative communication.

This model distinguishes between the levels of action, fictional communication, and nonfictional communication. It establishes useful points of reference for terms like *author*, *reader*, *narrator*, and *narratee/addressee* (for a book-length study on communication in narrative see Coste 1989; for the pragmatic status of narrative statements Hamburger 1977 and Genette 1991).

For example, on the level of nonfictional communication, the author of the short story "The Fishing-Boat Picture" is Alan Sillitoe, and any reader of this text is situated on the same level of communication. Since author and reader do not communicate *in* the text itself, their level of communication is an *extratextual* one. However, there are also two *intratextual* levels of communication. One is the level of narrative communication, where a fictional first-person narrator named Harry tells the fishing-boat picture story to an unnamed addressee (for an argument that Harry might be both narrator and narratee at the same time see ch9.1). Finally, on the level of action, Harry and his wife Kathy are the major communicating characters of the story. We call this latter level the level of action because we are assuming that speech acts (Austin 1955, Searle 1969) are not categorically different from other acts.

2-15. Some theorists add an intermediate level of implied fictional communication (below the

author-reader level) comprising an ***implied author*** (a text's projection of an overarching intratextual authority above the narrator) and an ***implied reader*** (a text's overall projection of a reader role, superordinate to any intratextual narratee). The main reason for implementing this level is to account for unreliable narration (7-07). See Booth (1961), Chatman (1990) [one proposing and the other defending the concept]; Fieguth (1973); Iser (1971, 1972, 1976) [on readers and "implied readers']; Bal (1981b, 209), Genette (1983, ch19) [a critique of the concept], Nünning (1993), Nelles (1993), Kindt and Müller (1999), Richardson (2006), Dawson (2012). Some theorists propose even more complex Chinese box layers; for instance, Lanser (1981, 144) adds historical, extrafictional, public, and private level addressers and addressees.

2-16. Following the reception-oriented model proposed by Rabinowitz (1987), many narratologists differentiate between the stipulated belief systems and interpretive strategies of authorial vs. narrative audiences:

- ***authorial audience*** The audience of real readers addressed by the author.
- ***narrative audience*** The fictional audience addressed by the narrator. The term covers both named or otherwise explicitly specified addressees as well as the wider set of unspecified, implied, or hypothetical addressees. Kearns (1999), however, makes the sensible suggestion to reserve the term narratee for explicitly mentioned addressees.

The two kinds of audiences are rarely the same. Readers have to decide whether they should or should not adopt the narrative audience's presuppositions as projected by or reflected in the narrator's discourse. See Prince (1980) for the first major account of the narratee (on which Genette commented, "I would willingly and unashamedly annex that article." 1988, 131), Lanser (1981, ch4), Rabinowitz (1987), Phelan (1996) and Kearns (1999) for further elaboration and application of the audience concepts.

2-17. Although the terms *person*, *character* and *figure* are often used indiscriminately, many narratologists prefer making the following distinctions:

- A ***person*** is a real-life person; anyone occupying a place on the level of nonfictional communication. Authors and readers are persons.
- A ***character*** is *not* a real-life person but only a "paper being" (Barthes 1966), a being created by an author and existing only within a story world.
- The term ***figure*** is often simply used as a variant of *character*; however, some theorists also usefully employ it to refer to the narrator. Following this practice, a narrator can also be called a *narrator figure*.

2-18. Ideally, the levels of action, (fictional) mediation, and real-world communication (2-14) are hermetically sealed domains indicating thresholds of control and knowledge. Any agent situated on a higher-level dominates and frames all lower-level agents, while lower-level agents are unaware of the existence of the higher-level agents. For instance, the characters at the level of action do not know that they are characters in some narrator's story, and they cannot complain if their acts and motives are misrepresented. Similarly, a narrator such as Holden Caulfield is not aware of the fact that he is a fictional figure in the novel written by J.D. Salinger (point spelled out in more detail in ch1.2.1). However, modern authors and narrators are often happy to flaunt the rules in order to make readers question their own interpretive processes. This is particularly noticeable in the playful, and sometimes not-so-playful, transgressions of levels, which Genette calls ***metalepsis*** (Genette 1980, 234-237; Hanebeck 2017). Typical cases cited in the literature are (1) narrators and narratees seemingly joining the characters in the action or (2) characters attempting to establish communicative contact with either audience or author or vice versa (similar devices in drama and film are actors "acting out of character" and uttering asides "*ad spectatores*" ["parabasis" in classical rhetoric]). Examples:

(1) You shall see them, reader. Step into this neat garden-house on the skirts of Whinbury, walk forward into the little parlour – there they are at dinner. . . . You and I will join the party, see what is to be seen, and hear what is to be heard. (Charlotte Brontë, *Shirley* 9)

(2) Once again Gold found himself preparing to lunch with someone – Spotty Weinrock – and the thought arose that he was spending an awful lot of time in this book eating and

> talking. . . Certainly he would soon meet a school-teacher with four children with whom he would fall madly in love, and I would hold shortly out to him the tantalizing promise of becoming the country's first Jewish Secretary of State, a promise I did not intend to keep. (Joseph Heller, *Good as Gold*, qtd Lodge 1992, 22)

Clearly, the metalepsis in (1) is just a harmless naturalization of the effect of transposition (1-04). Item (2) is a more serious case because it violates the "sacred frontier between two worlds, the world in which one tells, the world of which one tells" (Genette 1980, 236) – in other words, it paradoxically merges discourse world and story world. See D. Herman (1997) for a formal description, Pier (2016) for a recent overview, and Malina (2000) for an in-depth exploration of functions, effects, and types of "reconstructive," "deconstructive," "subversive," and "transformative" metalepses. Related phenomena include ***alterations*** (3-23), ***metafiction*** (3-25), the ***alienation effect*** in drama (D6.1), and the ***device goof*** in film (F5.3.3).

2.4. Nested (embedded) narratives

2-19. As Barth (1984 [1981]) puts it, there may be "tales within tales within tales." The model shown in 2-14 provides a *general* framework which can easily be adapted to more complex circumstances. One such circumstance arises when a character in a story begins to tell a story of his or her own, creating a narrative within a narrative, a tale within a tale. The original narrative now becomes a "frame" or "matrix" narrative, and the story told by the narrating character becomes an "embedded narrative" or "hyponarrative" (Bal 1981a, 43):

- ***matrix narrative*** A narrative containing an embedded ***hyponarrative***.

The term "matrix" derives from the Latin word *mater* (mother, womb) and refers to "something within which something else originates" (*Webster's Collegiate Dictionary*). In linguistics, a "matrix sentence" is one that embeds a subordinate sentence. Ordinarily, the transition to a hyponarrative, the termination of the hyponarrative, and the return to the matrix narrative are explicitly signalled; occasionally, however, texts close on a hyponarrative without resuming the matrix narrative (see graphic (c) of Fig. 5, below). The somewhat rarer opposite to a "dangling" matrix narrative would be an "uninitialized" hyponarrative (postmodernist example: Agota Kristof, *The Notebook* [1986]).

2-20. Rimmon-Kenan (1983, 91) proposes the following terms for multi-level narratives:

- A ***first-order / first-degree narrative*** is a narrative that is *not* embedded in any other narrative; a ***second-order/second-degree narrative*** is a narrative that is embedded in a first-order narrative; a ***third-order/third-degree narrative*** is one that is embedded in a second-order narrative, etc.
- A ***first-order / first-degree narrator***, by analogy, is the narrator of a first-order narrative, a ***second-order narrator*** is the narrator of a second-order narrative, etc, in exact correspondence.

See Genette (1980, 228-234; 1983, ch14) [extradiegetic, diegetic, intradiegetic, metadiegetic]; Bal (1981, 48-50) [on 'hypo-' vs. 'meta-']; Lanser (1981); Rimmon-Kenan (1983, 91-94) ['graded" narrators and narratives]; Duyfhuizen 1992; O'Neill (1994, ch3); Nelles (1997, ch5); Pier (2014).

2-21. Here are three popular ways of visualizing embedded narratives.

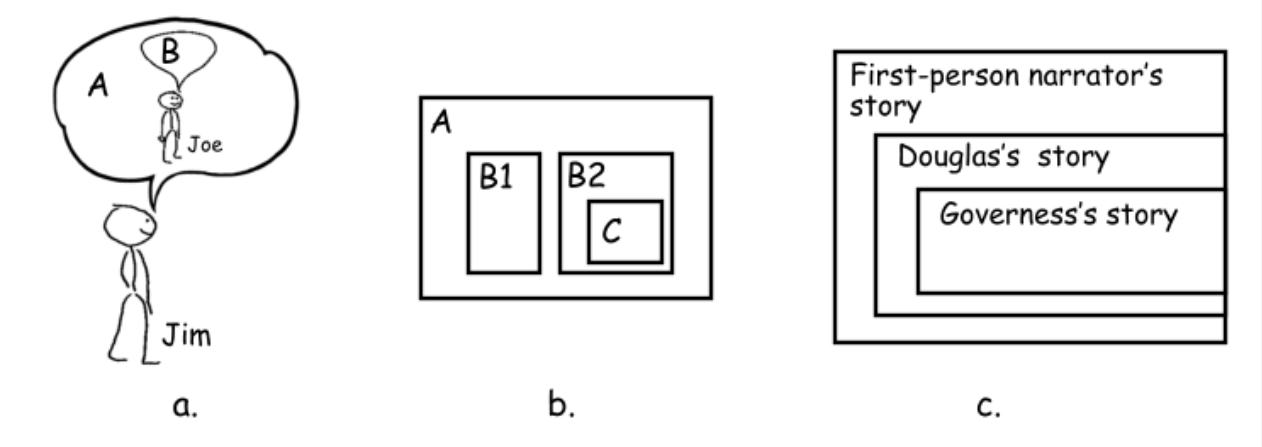


Fig. 5. Embedded narrators and narratives.

In (a) first-order narrator Jim narrates first-order narrative A. In narrative A, second-order narrator Joe tells second-order narrative B (graphic adapted from Genette 1983, 85). Graphics (b) and (c) are Chinese-box models which can be drawn to great accuracy, indicating both the relative lengths of the different narrative segments as well as their potentially open or closed status (Lintvelt 1978; Ryan 1991, 178; Branigan 1992, 114). In example (b), A is a first-order narrative, B1 and B2 are second-order narratives, and C is a third-order narrative. (Question: which of these are (also) matrix narratives? Answer: A and B2.) Example (c) illustrates the embedding structure of Henry James's *The Turn of the Screw*, which ends on the conclusion of the Governess's third-order narrative without resuming either of its two superordinate narratives.

There are many texts that are famous for their multiple nestings: *The Arabian Nights*, Chaucer's *Canterbury Tales*, Jan Potocki's *Saragossa Manuscript*, Emily Brontë's *Wuthering Heights*, John Barth's "Menelaiad." See also Chatman (1978, 255-257), Barth (1984 [1981]), Ryan (1991, ch9), Baker (1992).

Comment. The foregoing account makes short shrift of a host of rather unhappy terms that haunt the narratological literature, including the term "frame narrative" itself – where it is not clear if it refers to a narrative that is framed or one that provides a frame. (And note that a narrative can be both.) With reference to graphic (a), above, Genette calls the narrator of A an "extradiegetic narrator" whose narrative constitutes a "diegetic level," while B is a "metadiegetic narrative" told by an "intradiegetic" (or, confusingly, "diegetic") narrator. On the next level of embedding, one would get a meta-metadiegetic narrative told by an intra-intradiegetic narrator. Against this, Bal (1981a, 43) and Rimmon-Kenan (1983, 91-93) have argued that *hypo-* (from Greek 'under') is a more adequate prefix than *meta-* (from Greek 'on, between, with') to refer to what are, at least technically (though not necessarily functionally), subordinate narratives. Oddly, however, in their system, B (in graphic [a]) is a "hyponarrative" told by a "diegetic narrator," and if there were an additional level Bal and Rimmon-Kenan would be happy to have a "hypo-hyponarrative" told by a "hypodiegetic narrator," and so on. Although the *hypo* prefix is a useful one, linking hypodiegetic narrators to hypo-hyponarratives is awkward. More drawbacks of the terminology become apparent when addressing the exercise problems below.

2-22. As an exercise, work out the following problems. Some may be a bit tricky; use simple Chinese-boxes to argue your answers.

1. Can a hyponarrative be a matrix narrative?
2. Can a matrix narrative be a hyponarrative?
3. Must a first-order narrative be a matrix narrative?
4. Can a text have more than one first-order narrative?
5. Can a character be a first-order narrator?
6. Can a character be both a second-order narrator and a third-order narrator?[7]

[7] Answers: 1. Sure. 2. Absolutely. 3. No. 4. Yes: Dickens, *Bleak House*. 5. No! On what level do we get characters? (2-14). 6. By all means.

2-23. Embedded narratives can serve one or more of the following functions:

- ***actional integration*** The hyponarrative serves as an important element in the plot of the matrix narrative. For instance, in *The Arabian Nights* Scheherazade's stories keep the Sultan from killing her. Indeed, in the end, he marries her because she is such an excellent story-teller. Or think of a surprise witness in a crime or courtroom novel whose tale decides the outcome of the case.
- ***exposition*** The hyponarrative provides information about events that lie outside the primary action line of the matrix narrative.
- ***distraction*** "So tell us a story while we're waiting for the rain to stop" (Genette 1983, 93).
- ***obstruction/retardation*** The hyponarrative momentarily suspends the continuation of the matrix narrative, often creating an effect of heightened suspense.
- ***analogy*** The hyponarrative corroborates or contradicts a story line of the matrix narrative ("You are not the only person ever deceived by a faithless lover; let me tell you about . . . ") (Barth 1984 [1981], 232).

2-24. Hyponarratives are also often used to create an effect of *mise en abyme*, a favorite feature of postmodernist narratives (Dällenbach 1981; Ron 1987; McHale 1987, ch8; Wolf 1993). Figure 6 cites a visual example.

- ***mise en abyme*** The infinite loop created when a hyponarrative embeds its matrix narrative. "It can be described as the equivalent of something like Matisse's famous painting of a room in which a miniature version of the same paintings hangs on one of the walls. . . . A famous example from Gide's work is *The Counterfeiters* (1949) where a character is engaged in writing a novel similar to the novel in which he appears" (Rimmon-Kenan 1983, 93).

Walt Kelly, *Ten Ever-Lovin' Blue-Eyed Years With Pogo* (New York: Simon & Schuster, 1959), p. 71.

Fig. 6. A pictorial *mise en abyme*.

Spence (1987, 188) cites the following example:

> It was a dark and stormy night. The band of robbers huddled together around the fire. When he had finished eating, the first bandit said, "Let me tell you a story. It was a dark and stormy night and a band of robbers huddled together around the fire. When he had finished eating, the first bandit said: "Let me tell you a story. It was a dark and stormy night and . . ."

3. Narrators, narrative situations, and focalization

This section combines the theories of Gérard Genette (1972; 1983) and Franz K. Stanzel (1979). Additionally, it also considers various revisions and modifications suggested by Chatman (1978, 1990), Lanser (1981), Lintvelt (1981), Cohn (1981, 1999), Bal (1985), Fludernik (1996, 2009), Schmid (2010). The best preparation for understanding the key distinctions made here is to read the Getting Started chapter of this script.

3.1. Narrators

3-01. A fundamental element of narrative discourse is its creator, the narrator.

- ***narrator*** The speaker or writer of a narrative text. Functionally, the narrator is the agent who establishes communicative contact with an addressee (the narratee), who manages the exposition, who decides what is to be told, how it is to be told (especially, from what point of view, and in what sequence), and what is to be left out.[8] The narrator may also use a metanarrative comment to defend the tellability (4-03) of the story or discuss its lesson, purpose, message, etc.

3-02. In Roman Jakobson's terms, narratorial discourse (like any other discourse) can serve a variety of functions, mainly (a) an addressee-oriented "phatic function" (maintaining contact with the addressee), (b) an "appellative function" (persuading the addressee to believe or do something), and (c) an "emotive" or "expressive function" (expressing his/her own subjectivity). All of these functions are indicative of a text's projection of narratorial voice (1-11). See Jakobson (1960) for the discourse functions, Simpson (1993) and Nuyts (2016) for speaker-oriented "modal" elements; Fowler (1977) on a narrator's "discoursal stance"; Bonheim (1982) on the presence or absence of narratorial "conative solicitude"; Chatman (1990) on narratorial "slant" ("the psychological, sociological and ideological ramifications of the narrator's attitudes, which may range from neutral to highly charged" 1990, 143), and rhetorical approaches to narratorial discourse (Booth 1961; Phelan 1996, 2017; Kearns 1999).

3-03. Depending on how the presence of a narrator is signaled in the text, one distinguishes between overt and covert narrators (Chatman 1978, ch5).

- ***overt narrators*** are narrators who have any or all of the following properties: they refer to themselves in the first person ("I," "we" etc); they address their narratees directly or indirectly; they have a distinctive voice; they offer reader-friendly exposition whenever it is needed (using Jakobson's conative and appellative discourse functions); they articulate opinions on characters, events, and storytelling; they use rhetorical figures, imagery, evaluative phrases and emotive or subjective expressions (Jakobson's expressive function); they intrude into the story in order to pass philosophical or moral comment.
- ***covert narrators*** are narrators who exhibit none of the features of overtness listed above. They have a more or less neutral or nondistinctive voice; they lack individual style; they neither refer to themselves nor do they address any narratees; they are nameless and sexually indeterminate; they show no "conative solicitude;" they do not provide exposition even when it is urgently needed; they do not intrude or interfere in the presentation; they let the story events unfold in their natural sequence and tempo ("let the story tell itself," as is sometimes said (Lubbock 1957, 62, qtd Genette 1983, 45); their discourse fulfills no obvious conative, phatic, appellative, or expressive functions. Covert narration can be most easily achieved by letting the story events be seen through the mindset-conditioned eyes of a reflector (3-27).

See para 1-11 for a list of typical voice markers based on content and subjective expressions. Obviously, there are degrees of overtness and covertness, and often overtness and covertness vary in inverse proportion, such that the presence of one is an indication of the absence of the other. In analysis, it is therefore always a good idea to look out for typical signals of narratorial overtness or covertness.

3-04. Whatever people may think of political correctness, analytical discourse must decide on

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[8] On the "nonnarrated" or "disnarrated" see Prince (1988), Vindrola-Padros and Johnson (2014), and Schmid 2023.

how to gender a narrator grammatically, mainly because it would be stylistically awkward never to use a pronoun at all. A generic "he" is clearly out of the question, and the option suggested by Bal – "I shall refer to the narrator as *it*, however odd this may seem" (1985, 119) – is not only odd, indeed, but, as Ryan (1999, 141n17) points out, "incompatible with consciousness and linguistic ability." By way of compromise, many scholars now use the following rule.

> ***Lanser's Rule*** In the absence of any text-internal clues as to the narrator's gender, use the male pronoun if the author is male and the female pronoun if the author is female (Lanser 1981, 166-68; Lanser 1992, ch1; Lanser 1995).

Hence the anonymous heterodiegetic narrator of Dickens's *Hard Times* would be assumed to be male and referred to as "he," while the narrator of Austen's *Sense and Sensibility* would be assumed to be female and referred to as "she." See Culler (1988, 204-207) for a critique of the rule and for pointing out some interesting ramifications. Problematic in Lanser's gendered pronouns is (i) that they may attribute a narrative voice quality which is better left indeterminate, at least in certain cases (calling them "narrative agency" and "it" poses just the opposite problem, however); (ii) that they suggest that author and narrator are alike or identical, which may not be the case. The problem of sexually indeterminate narrators usually arises with authorial (heterodiegetic) narrators only. See Lanser (1995) and Fludernik (1999) for a discussion of sexually indeterminate first-person narrators in Jeannette Winterson's *Written on the Body* and Maureen Duffy's *Love Child*.

3.2. Homodiegetic and heterodiegetic narrators

3-05. Following Genette (1972, ch5), we will make a distinction between two principal categories: homodiegetic and heterodiegetic narrators. The distinction is based on the narrator's relationship to the story – the question of whether s/he is or was present in or absent from the story world.

- In a ***homodiegetic narrative*** a ***homodiegetic narrator*** tells a story of personal experience. In other words, he or she is also one of story's acting characters. A homodiegetic narrator therefore splits up into a ***narrating-I***, who tells the story on the level of fictional communication and an ***experiencing-I***, who exists on the level of action.
- In a ***heterodiegetic narrative***, the story is told by a ***heterodiegetic narrator*** who is not present as a character in the story world. A heterodiegetic narrator tells a story about others: there may be a narrating-I in the discourse world, but there is no experiencing-I in the story world.

In order to determine if a text is homodiegetic or heterodiegetic one must check for the presence or absence of an experiencing-I in the story's action. Note that a text's use of personal pronouns can be quite misleading or even irrelevant: both homodiegetic and heterodiegetic narrators can use the first-person pronoun to refer to themselves, and occasionally homodiegetic narrators refer to themselves in the third person – the classical example is Caesar's *De Bello Gallico*. See Tamir (1976); Genette (1980, 245-247); Stanzel (1984, 79-110, 200-224, 225-236), Edmiston (1991).

3-06. A voice can only enter into a text through a reader's imaginary perception of it; hence, unless the text is an oral narrative in the first place, or is performed in the context of a public reading, or is an audio text, voice is strictly a readerly construct (Jahn 2001b). In Genette's system, voice is exclusively understood to be the narrator's voice. However, under the growing impact of Mikhail Bakhtin's (1934) theory of polyphony it has now become standard practice to allow authors and characters to have voices, too. From this, the following distinction can be made:

- ***textual*** or ***intratextual voices*** are those of the narrator and the characters.
- The ***extratextual voice*** is that of the author. One normally considers the author's voice only when (i) one has reason to believe that it is more or less identical to that of the narrator (as is often the case in fictional authorial narration, but also in nonfictional, real-life, or historiographic narratives), or (ii) the author's and the narrator's voices are significantly different (as is the case in much of homodiegetic fiction [see the discussion of *Catcher in the Rye* in ch1.2.1]).

Characteristic qualities of voice typically project from voice markers such as subjective expressions, dialect (regional features, esp. pronunciation), sociolect (speech characteristics specific to a social group), idiolect (singular or idiosyncratic style), and genderlect (features specific to women or men).

3-07. According to Bakhtin (1934), narrative discourse may exhibit either of two voice qualities:

- ***monologism*** The effect created when all voices sound more or less the same, producing a ***monologic*** text.
- ***dialogism*** The effect created when a text contains a diversity of authorial, narratorial, and character voices creating contrasts and tensions. The result is a ***polyphonic*** or ***dialogic*** text.

3-08. Not surprisingly, most theorists and interpreters (including Bakhtin himself) consider the dialogic text the more sophisticated, interesting, and challenging form. There are two additional Bakhtinian terms that are frequently mentioned in this context:

- ***heteroglossia*** Literally, "other-language": the use of language elements inherited or learned from others. The concept stresses the fact that "our" language is never truly our own, and that no language can be entirely private or idiosyncratic; hence, heteroglossia normally suffuses all discourses.
- ***alterity*** The theme or effect of otherness or strangeness (especially as opposed to what is familiar and what one considers one's own selfhood and unique identity). Cp the alterity effect created by the Russian-influenced slang used by the juvenile hooligans in Burgess's *A Clockwork Orange*.

Genette (1972, ch5) [narrator's voice]; Lanser (1981) [extra- and intratextual voices]; Fowler (1983) [polyphony and dialect/sociolect in Dickens's *Hard Times*]; Fludernik (1993a, 324) [on heteroglossia]; Aczel (1998a) [intertextuality and voice in Henry James].

3.3. Narrative situations

3-09. Both Stanzel (1979) and Genette (1983, ch17) use the term narrative situation to refer to more complex patterns of narrative features. Genette's system uses the categories of voice (narration) and mood (focalization) to explore a range of possible combinations; Stanzel focuses on "ideal-typical" configurations and the transitions between them. The following paragraphs will mainly discuss the interpretive implications of Stanzel's categories. For an excellent comparative survey of the two approaches, including some proposals for revisions, see Cohn (1981) and discussion here in paras 3-77ff. Alternative models have been proposed by Fowler (1986), Simpson (1993), and Lintvelt (1981).

3-10. Stanzel's narrative situations are complex frameworks aimed at capturing typical patterns of narrative features, including the narrator's involvement or non-involvement in the story world, attitudinal distance, pragmatics, knowledge, reliability, voice, and perspectivization. This line of approach results in complex "frames" or defaults conditions (Jahn 1997). There are three basic situations (more detailed descriptions to follow below):

- A ***first-person narrative*** is told by a narrator who is present as a character in his/her story; it is a story of personal experience. The individual who acts as a narrator (***narrating-I***) is also a character (***experiencing-I***) on the level of action (more: 3-11).
- An ***authorial narrative*** is told by a narrator who is absent from the story world, ie, does *not* appear as a character in the story. The authorial narrator tells a story involving other people. An authorial narrator sees the story from an external position, often a position of absolute authority that allows her/him to know everything about the story's world and its characters, including their private thoughts and even their unconscious motives (more: 3-14).
- A ***figural narrative*** presents a story as if seeing it through the eyes of a character (more: 3-16).

3.3.1. First-person (homodiegetic) narration

3-11. In first-person narration, the first-person pronoun refers both to the narrator (***narrating-I*** or ***narrating self***) and to a character in the story (***experiencing-I***). If the narrator is the main character of the story s/he is an ***I-as-protagonist***; if s/he is one of the minor characters s/he is an ***I-as-witness*** (see next para for additional first-person narrator types). With respect to focalization, a first-person narrative can either be told from the "dissonant" hindsight knowledge of the narrating-I (typical stance: *Had I known then what I know now*) or from the more limited, naïve, and "consonant" level of insight of the experiencing-I (functioning as a reflector), see the discussion of the Drabble and Chandler incipits in 1.2.2 and 1.2.8, respectively. Epistemologically (knowledge-wise), first-person narrators are restricted to ordinary human limitations (Lanser 1981, 161): they cannot give witness accounts of things that happened in different locations, they don't know what will happen in the future, they cannot (under ordinary circumstances) narrate the story of their own death (with exceptional "postmortal narratives" such as Faulkner's *As I Lay Dying* [Haller 2019] duly noted), and they cannot know for certain what other people think or thought (the "other minds" problem).

The temporal and psychological distance between the narrating-I and the experiencing-I is called ***narrative distance***. Usually, the narrating-I is older and wiser than the experiencing-I, but other configurations are possible (as in "dementia narratives" such as Ishiguro's *The Unconsoled*, see Bitenc 2020, Christ 2022). Here is an example explicitly addressing the cognitive distance separating the narrating-I and the experiencing-I (see 3-67 for further discussion of the passage, also ch9.1).

> Later I learnt, among other things, never to buy cheap raincoats, to punch the dents out of my hat before I put it away, and not to have my clothes match too exactly in shade and colour. But I looked well enough that morning ten years ago ***[exact specification of temporal distance]***; I hadn't then begun to acquire a middle-aged spread and – whether it sounds sentimental or not – I had a sort of eagerness and lack of disillusion which more than made up for the coat and hat . . . . (Braine, *Room at the Top* 7) ***[a block characterization of the experiencing-I, from the point of view of the narrating-I]***

3-12. Evidently, the first-person types I-as-protagonist and I-as-witness, originally proposed by Friedman (1955), can be related to the narrator's degree of involvement in the story world. Following up on this, Susan Lanser has located additional roles on a gradient that links "heterodiegesis" and "autodiegesis." Consider Lanser's instructive diagram:

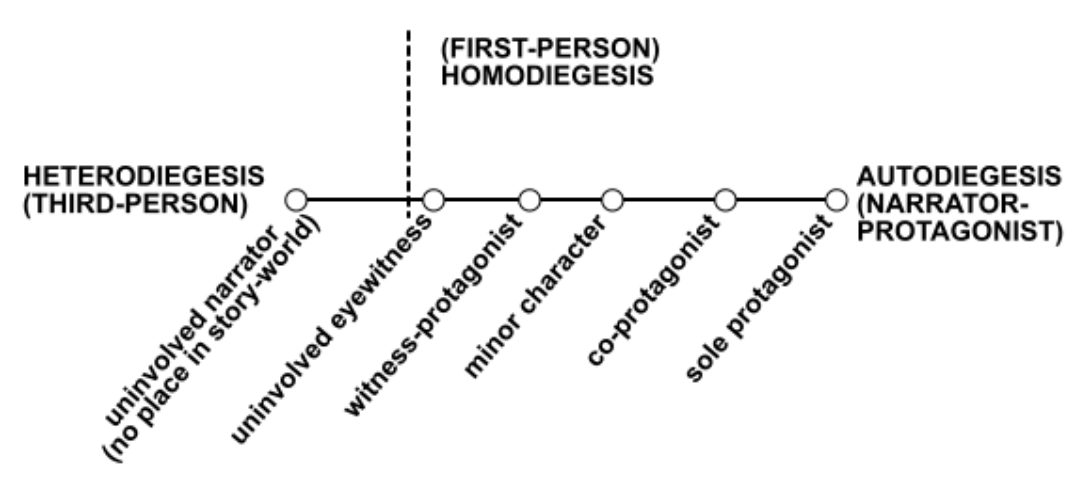

Fig. 7. Heterodiegesis, homodiegesis, and autodiegesis (Lanser 1981, 160).

An ***I-as-co-protagonist*** would be Nick Carraway in F. Scott Fitzgerald's *The Great Gatsby*. Other experiencing selves include the ***I-as-minor-character*** in Dickens's "The Signalman," the ***I-as-witness-protagonist*** in chapter 1 of Flaubert's *Madame Bovary*, and the ***I-as-uninvolved-***

eyewitness in Faulkner's "A Rose for Emily" (actually, it's a "we" in this case).[9]

3-13. Generally, a first-person/ homodiegetic narration aims at presenting an experience that shaped and changed the narrator's life and made her/him into what s/he is today. A first-person narrator can be an important witness offering an otherwise inaccessible testimony of historical or fictional events. Typical subgenres of first-person narration are fictional autobiographies, initiation stories, and skaz narratives, as defined in the following.

- A ***fictional autobiography*** is an I-as-protagonist (autodiegetic) narrative in which the first-person narrator tells the story (or an episode) of his/her life. Example: Sillitoe, "The Fishing Boat Picture" (see analysis in ch9.1).
- A ***story of initiation***, also ***coming-of-age story***, is a story about a young person's introduction into a new sphere of society, activity, or experience. Many stories of initiation involve the protagonist's transition from childhood and ignorance to adulthood and maturity. As Freese (1979) has shown, many stories of initiation begin with a journey, often they involve a character's first sexual experience or some growing-up ritual or ceremony, which sometimes turns into an ordeal. Occasionally, the "initiate" can ask an adult for help, but often enough there is no helper, or the helper turns out to be a fraud, and the whole initiatory experience may become a catastrophic and traumatic failure. Example: Sherwood Anderson, "I want to Know Why" [note that the story's title already alludes to the motif of ignorance]. See Brooks and Warren (1959); Buchholz (2004) on female initiation stories. (Not all initiation stories are homodiegetic ones.)
- ***skaz narrative*** From Russian *skaz*, "speech." A literary form that represents an oral (or "conversational") story-telling situation in which a speaker tells a story to a present audience. Apart from having a distinctly oral diction and syntax, a skaz-narrator's discourse is also characterized by a high incidence of phatic and appellative elements, signaling the presence of the listening audience. Skaz is closely related (and usefully compared to) the poetic genre of the ***dramatic monologue***. (Not all skaz narratives are necessarily homodiegetic ones, however). See Banfield (1982, 172, 306n 25); Fludernik (1996, 178-179, 394n1); Schmid (2010: IV.2). Examples: Mark Twain, *Huckleberry Finn*, Ring Lardner, "Haircut," Salinger, *Catcher in the Rye*.

3.3.2. Authorial narration

3-14. An authorial narration tells a story from the external point of view of an authorial narrator, ie, somebody who is not, and never was, a character in the story itself. (Note, however, that, like a first-person (homodiegetic) narrator, an authorial narrator may refer to him- or herself in the first person – see ch1.2.4). Often, the authorial narrator's status of an outsider makes her/him an authority commanding practically godlike abilities such as omniscience and omnipresence. Many authors allow their authorial narrators to speak directly to their addressees, to comment on action and characters, to engage in philosophical reflection, and to interrupt the course of the action by presenting detailed descriptions (5-13). The main type of perspectivization is external, and any appearance of a reflector figures tends to be local and restricted. As Friedman (1967 [1955], 124) puts it, "The prevailing characteristic of omniscience … is that the [authorial narrator] is always ready to intervene himself between the reader and the story, and that even when he does set a scene, he will render it as he sees it rather than as his people see it." The prototypical example is Fielding's *Tom Jones* (1749).

3-15. Typical authorial story patterns. Usually, the authorial narrator is an omniscient and omnipresent mediator telling an instructive story (a story containing a moral or a lesson) set in a complex world. The authorial narrator's comprehensive ("Olympian") world-view is particularly

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[9] Note that the *heterodiegetic* narrator makes an appearance at the "heterodiegesis" pole of Lanser's scale using the definition "uninvolved narrator/no place in story world." Although it is difficult to grade uninvolvedness, it would seem possible, in theory, to describe the involvedness status of different heterodiegetic narrators as being more or less close to, or distant from, the world of the characters. Mansfield's "A Cup of Tea," for instance, provides a rare example of a narrator position practically straddling the heterodiegesis-homodiegesis divide (the dotted line in Fig. 7). Arguably, both the story's heterodiegetic narrator and its third-person protagonist belong to the same upper middle-class spatiotemporal environment, and they even use the same sociolect (cp Murphy and Walsh 2017).

suited to reveal the protagonists' moral strengths and weaknesses, and to present a tightly plotted narrative. Typical subgenres are 18C and 19C novels of social criticism. See Stanzel (1984, 141-184, 185-224); Stanzel (1964, 16, 18-25); Rimmon-Kenan (1983, 95-96); Genette (1980, 243-245); Nünning (1989, 45-50, 84-124).

3.3.3. Figural narration

3-16. A figural narration presents the story's events as seen through the eyes of a third-person reflector character. The narrative agency of figural narration is a highly covert one; some theorists go so far as to say that figural texts are "narratorless" (Banfield 1982, Patron ed 2021). See Stanzel (1984, 141-184, 185-200, 225-236); Stanzel (1964, 17, 39-52). Weldon's "Weekend" is a figural short story: everything – or almost everything – is seen from Martha's point of view.

Comment. Avoid the unfortunate and misleading term "figural narrator." The only third-person narrator in Stanzel's system is an authorial narrator. By definition, an authorial narrator cannot become covert, and for this reason a plain "narrator" is usually sufficient for indicating a figural text's covert or near-covert third-person/heterodiegetic narrator. Note that Stanzel accepts many intermediary forms between strictly authorial and strictly figural texts (see ch3.6 for a discussion of transitional forms in his "typological circle").

3-17. While figural narration is realized as a heterodiegetic (third person) text, we can also make use of the more flexible concept of "reflector-mode narration" which allows the inclusion of first-person texts:

- ***reflector-mode narration*** A mode of narration in which the story is presented as seen through the eyes of either a third-person or a first-person reflector character.

Typically, a figural narrative presents the story's action as seen through the eyes of a reflector figure. Often, a figural text presents a distorted or restricted view of events – to many authors, such a distorted (but nevertheless "psychologically real and accurate") perspective is more interesting than an omniscient or objectively true account of events. Because figural texts have a covert narrator figural stories typically begin "medias in res" (in the middle of things), have little or no exposition, and attempt to present a direct (ie, both immediate and unmediated) view into the perceptions, thoughts, and psychology of a character's mind. Typical subgenres are "slice-of-life" and "stream of consciousness" narratives, often associated with 20C literary impressionism and modernism (Stevenson 1998; see 8-13 for a quotation from Virginia Woolf's 2025 modernist program). Many authors specifically wanted to capture the distortive perceptions of unusual reflectors – such as a drug addict (Dickens, *The Mystery of Edwin Drood*), a murderer (Dostoevsky, *Crime and Punishment*), an alcoholic (Lowry, *Under the Volcano*), a two-year old child (Dorothy Richardson, "The Garden"), a dog (Woolf, *Flush*), a machine (Walter M. Miller, "I Made You"). Although figural storytelling is usually considered a modern (20C) form, Jane Austen's *Emma* of 1816 (ch1.2.7) is an important forerunner, and de Jong (2001) draws attention to proto-forms dating back to Homer.

3-18. Four additional elements of figural narratives merit closer attention: incipits using referentless pronouns and familiarizing articles, slice-of-life format, epiphanies, and the mirror trick.

- ***referentless pronoun*** Many figural stories begin with a third-person pronoun whose referent has not yet been established. This is usually indicative of a narrator's covertness, his/her relinquishing of exposition and conative solicitude. Usually, the pronoun identifies the text's internal focalizer. Stanzel (1984, ch6.3).
- Similarly, a ***familiarizing article*** presents new information (as far as the reader is concerned) in the guise of given information (as far as a story-internal character is concerned). Cf. the incipit of Hemingway's *For Whom the Bell Tolls*: "He ***[referentless pronoun, identifying the reflector]*** lay flat on the ***[familiarizing article]*** brown, pine-needled floor of the ***[another familiarizing article]*** forest …." Who is "he"? Which forest? Bronzwaer (1970); Stanzel (1984, ch6.3).
- ***slice of life story/novel*** A short story or novel whose story duration is restricted to a very brief episode in a character's life, often only a day, a few hours, or even just a single moment. Examples: Joyce, "Eveline," Mansfield, "Miss Brill," Richardson, "The Garden,"

Woolf, *Mrs. Dalloway,* Joyce, *Ulysses* (the latter text is a 600+ page novel!).

- ***epiphany*** Originally, a Greek term denoting the "manifestation" or appearance of divine quality or power. The term was appropriated by James Joyce in *Stephen Hero* (1905) to denote a moment of intense insight, usually occasioned by the perception of a more or less ordinary object or event. The term is closely related to what other authors variously term "moment of vision" (Conrad, Woolf), "moment of being" (Woolf, again), or "glimpse" (Mansfield). According to Beja, "epiphany is a sudden spiritual manifestation, whether from some object, scene, event, or memorable phase of the mind – the manifestation being out of proportion to the significance or strictly logical relevance of whatever produces it" (Beja 1984, 719). Here is the relevant passage from Joyce's *Stephen Hero*:

  > Stephen as he passed [. . .] heard the following fragment of colloquy out of which he received an impression keen enough to afflict his sensitiveness very severely:
  >
  > The Young Lady – (drawling discreetly) . . . O, yes . . . I was . . . at the . . . cha. . . pel. . .
  >
  > The Young Gentleman – (inaudibly) . . . I . . . (again inaudibly) . . . I . . .
  >
  > The Young Lady – (softly) . . . O . . . but you're . . . ve. . . ry . . . . wick. . . ed . . .
  >
  > This triviality made him think of collecting many such moments together in a book of epiphanies. By an epiphany he meant a sudden spiritual manifestation, whether in the vulgarity of speech or of gesture or in a memorable phase of the mind itself. He believed that it was for the man of letters to record these epiphanies with extreme care, seeing that they themselves are the most delicate and evanescent of moments. (qtd Beja 1971, 72-73)

  In the practice of many authors, notably Woolf and Mansfield, epiphanies may turn out to be deceptive, misguided, or otherwise erroneous (see Mansfield's "Bliss" for a particularly striking pseudo-epiphany). In many modernist texts, epiphanies are made to serve as climaxes or endings ("epiphanic endings").

- ***mirror trick*** A way (perhaps the only way) of conveying the physical features of a reflector figure without using overt narratorial description. Example:

  > Mr. Hutton came to pause in front of a small oblong mirror. Stooping a little to get a full view of his face, he passed a well-manicured finger over his moustache. It was as curly, as freshly auburn as it had been twenty years ago. His hair still retained its colour, and there was no sign of baldness yet – only a certain elevation of the brow. "Shakespearean," thought Mr. Hutton, with a smile . . . . (Huxley, "The Gioconda Smile")

3.3.4. Other types

3-19. In addition to the three standard narrative situations, we will briefly mention four peripheral categories: we-narratives, you-narratives, simultaneous narration and camera-eye narration.

- ***we-narrative*** A form of homodiegetic narrative in which the narrator's experiencing self belongs to a group of collective internal focalizers. Fludernik (1996, ch6.1.1); Margolin (1996; 2000).

  > We did not say she was crazy then. We believed she had to do that. We remembered all the young men her father had driven away, and we knew that with nothing left, she would have to cling to that which had robbed her, as people will. (Faulkner, "A Rose for Emily")

- ***you-narrative/second-person narrative*** A narrative in which the protagonist is referred to in the second person. Functionally, *"you"* may refer (a) to the narrator's experiencing Self, (b) to some other character in a homodiegetic world, or (c) to a character in a heterodiegetic world. (Note, we are not talking here of the general "you," meaning "anyone," nor the "you" that first-person or authorial narrators use for addressing their narratees). You-narratives are special forms of homodiegetic and heterodiegetic narratives. More on this in Booth (1961, 150); Stanzel (1984, ch5.1, ch7.3); Bonheim (1990, ch15); Fludernik (1993b); *Style* 28.3 (1994; special issue); Fludernik (1996, ch6.1.1); Bal (2017, ch2).

> I persistently imagine you dead. You told me that you loved me years ago. And I said that I, too, was in love with you in those days. An exaggeration. (Alice Munro, "Tell Me Yes or No." qtd Bonheim 1990, 281) ***[homodiegetic you-narrative]***

> Claude Ford knew exactly how it was to hunt a brontosaurus. You crawled heedlessly through the grass beneath the willows, through the little primitive flowers with petals as green and brown as a football field, through the beauty-lotion mud. You peered out at the creature sprawling among the reeds, its body as graceful as a sock full of sand. (Brian W. Aldiss, "Poor Little Warrior!") ***[heterodiegetic you-narrative]***

- ***simultaneous narration*** A homodiegetic narrative in which the narrator tells a story that unfolds as s/he tells it. The problematic logic of this type of narrative situation demands that the narrator does not know how the story ends, that there can be no objective flashforwards, that all sentences of narrative report are in the present tense, and that the narrating and experiencing selves (external and internal focalizers) overlap and merge. Simultaneous narration exhibits a certain resemblance to both journalistic "on-the-scene reporting" and interior monologue (8-14). The term was originally coined by Genette (1980, 218-19); the current extended definition is Cohn's (1993). Examples, charlotte Perkins Gilman, "The Yellow Wallpaper" (1892) [a diary-type story]; Beckett, "Text For Nothing: One"; Updike, "Wife-Wooing," Siegfried's story in case study 9.3.

> But in the places where it [the wallpaper] isn't faded and where the sun is just so – I can see a strange, provoking, formless sort of figure, that seems to skulk about that silly and conspicuous front design.
>
> There's sister on the stairs! (Gilman, "The Yellow Wallpaper")

- ***camera-eye narration*** The purely external or "behaviorist" representation of events; a text that reads like a transcript of some recorded camera footage. Originally, the term was appropriated from the introductory paragraph of Christopher Isherwood's *Goodbye to Berlin* (quoted below); today, the term is more often used as a metaphor of strictly "neutral" types of heterodiegetic narration. Stanzel (1955, 28) briefly toyed with the notion of a separate category of "neutral narration," and "neutral narrative" is still an active category in Lintvelt's (1981) model, where it is characterized by covert narration, absence of inside views, and the point of view of a camera. The standard example is Hemingway's "The Killers" (see excerpt below). Pouillon (1946, ch2) [introduction of the concept of outside view (*vision du dehors*)]; Friedman (1967 [1955], 130-31); Stanzel (1984, ch7.3.2); Genette 1972, ch4; Genette 1983, ch11 ["neutral" amounting to "external" focalization]; Lintvelt (1981, ch3). Examples:

> From my window, the deep solemn massive street. Cellar-shops where the lamps burn all day, under the shadow of top-heavy balconied facades, dirty plaster-frontages embossed with scroll-work and heraldic devices. . . .
>
> I am a camera with its shutter open, quite passive, recording, not thinking. Recording the man shaving at the window opposite and the woman in the kimono washing her hair. Some day, all this will have to be developed, carefully printed, fixed. (Isherwood, *Goodbye to Berlin*)

> The door of Henry's lunch-room opened and two men came in. They sat down at the counter.
>
> "What's yours?" George asked them.
>
> "I don't know," one of the men said. "What do you want to eat, Al?"
>
> "I don't know," said Al. "I don't know what I want to eat."
>
> Outside it was getting dark. The street-light came on outside the window. The two men at the counter read the menu. Nick Adams watched them. He had been talking to George when they came in. (Hemingway, "The Killers")

For a slightly different take on "The Killers" see 3-34. Further interpretations of the story can be found in Fowler (1977, 48-55); Lanser (1981, 264-276); Rimmon-Kenan (1983); Chatman (1990, 119ff).

3.3.5. Borderline cases and infractions

3-20. Here come some problem cases, and they are largely due to the fact that a whole novel or a longer passage of text may exhibit features of more than one narrative situation, producing borderline cases as well as transitional and mixed-mode passages. The most common type is "authorial-figural narration."

- ***authorial-figural narration*** A type of narration that is presented by a relatively overt authorial narrator but also uses one or more reflectors (Stanzel 1984, 185-186).

Examples: (1) Bradbury's "Composition" begins with an authorial exposition but has a middle section which is presented largely from the protagonist's point of view. The story ends with authorial summary and comment. (2) In Henry James's *What Maisie Knew*, the perceptions of a young heroine with a very limited knowledge basis are accompanied by overt authorial commentary. (3) A number of short stories in Joyce's *Dubliners* ("A Painful Case," "The Boarding House") begin with an authorial exposition and then continue as figural narrations. See also the discussion of *Emma* in ch1.2.7.

3-21. As an exercise, analyze the following passages as authorial-figural borderline cases.

> Our story opens in the mind of Luther L. (L for LeRoy) Fliegler, who is lying in his bed, not thinking of anything, but just aware of sounds, conscious of his own breathing, and sensitive to his own heartbeats. Lying beside him is his wife, lying on her right side and enjoying her sleep. She has earned her sleep, for it is Christmas morning, strictly speaking, and all the day before she has worked like a dog, cleaning the turkey and baking things, and, until a few hours ago, trimming the tree. (O'Hara, *Appointment in Samarra* 7)

> According to the Buddhist belief, those who have done evil in their lives will spend the next incarnation in the shape of a rat, a frog or some other low animal. U Po Kyin was a good Buddhist and intended to provide against this danger. He would devote his closing years to good works, which would pile up enough merit to outweigh the rest of his life. Probably his good works would take the form of building pagodas. Four pagodas, five, six, seven – the priests would tell him how many – with carved stonework, gilt umbrellas, and little bells that tinkled in the wind, every tinkle a prayer. And he would return to the earth in male human shape – for a woman ranks at about the same level as a rat or a frog – or at best some dignified beast such as an elephant.
>
> All these thoughts flowed through U Po Kyin's mind swiftly and for the most part in pictures. His brain, though cunning, was quite barbaric, and it never worked except for some definite end; mere meditation was beyond him. (Orwell, *Burmese Days*) [see 3-72 for further analysis]

3-22. A decidedly rarer type of mixed-mode narration is first-person/third-person narration as exemplified by, for instance, Donleavy's *The Beastly Beatitudes of Balthazar B*, John Barth's "Ambrose His Mark," and Fay Weldon's *The Heart of the Country*. In Jan Philipp Reemtsma's autobiographical story *Im Keller*, the episodes in the cellar, where the author was held hostage for 33 days, are narrated in the third person. "There is no I-continuity that leads from my writing desk into that cellar," Reemtsma writes (p46). In Joanna Bator's *Bitternis* (2023), the experiencing self is variously identified as a first person and a third person.

3-23. The narrative situations have here been described as cognitive frames that capture standard characteristics (function, strategy, stance, limitation) and the corresponding readerly expectations. Frequently, the conditions of these frames can be made explicit by invoking an unwritten narrator-narratee contract (1-01). But narrators and narratives often have a surprise in store, either because the story takes an unexpected turn or because it becomes difficult to reconcile a present mode of presentation with the general frame we thought we could use in order to facilitate reading and understanding. Genette terms this a transgression or alteration or "infraction of code".

- ***alteration*** A (mostly temporary) shift into a mode of presentation which does not conform to the standard expectations associated with the current narrative situation.

Genette specifically invokes the analogy of a musical composition which momentarily becomes dissonant or changes its tonality (Genette 1980, 197).

3-24. Some of the problem cases mentioned above can clearly be analyzed as infractions or alterations. Genette further differentiates between the following two types of alterations:

- ***paralepsis*** An infraction caused by saying too much; a narrator assuming a competence he/she does not properly have; typically, a first-person narrator (or a historiographer) narrating what somebody else thought (Genette's 1980, 208 example is Marcel's narration of Bergotte's dying thoughts), or what happened when s/he was not present (illicit assumption of authorial competence).
- ***paralipsis*** An infraction caused by omitting crucial information; saying too little; typically, an authorial narrator pretending not to know what happened in her/his characters' minds, or what went on at the same time in another place, or censoring a character's thought, or generally pretending to be restricted to ordinary human limitations. (Mnemonic help: think of the rhetorical figure of *ellipsis* (omission).)

Paralepsis and paralipsis are instances of violations of Grice's (1975) famous principle of co-operation – the notion that speakers (narrators) are socially obliged to follow an established set of "maxims" – to give the right amount of information, to speak the truth, to speak to a purpose (tell something worth telling), to be relevant, etc. Cognitive strategies for handling alterations include (a) "naturalizing" them so that they become consistent with one's current frame of interpretation; (b) adapting the frame so that it allows the alteration as an "exception;" (c) treating it as a stylistic "error;" (d) searching for a replacement frame.

Frequently mentioned cases of alterations are Agatha Christie's *Murder of Roger Ackroyd* (a crime novel narrated by a first-person narrator who turns out to be the murderer himself), Richard Hughes's "The Ghost" (first-person narrator "lives" to tell the tale of her own death), Ambrose Bierce's "An Occurrence at Owl Creek Bridge" and Lewis Carroll's *Alice in Wonderland* (containing unsignaled shifts into a character's dream world). See Genette (1980, 194-197); Edmiston (1991) [paralepsis/paralipsis put to excellent analytical use]; Jahn (1997) [narrative situations as cognitive frames; replacement frames]; Lejeune (1989), Cohn (1999, ch2) [both on narrator-narratee contracts].

3-25. A narrative form making frequent use of alteration and metalepsis (2-18) is metafiction.

- ***metafiction***. A style and a genre that typically employs a self-conscious narrator who discusses the act of storytelling and the accessibility of the story world. Problematizing the restrictions and the artificiality of the medium, metafiction often blurs the line between fiction and reality, transgresses the defaults and limitations of narrative situations, and destabilizes common expectations. Favorite devices include indeterminate narrative levels (2-20f), *mise en abymes (2-25)*, emancipated characters, unresolvable plots, unrecoverable time lines, and alternative endings.

Postmodernist examples include Italo Svevo, *Zeno's Conscience* (1923); Nabokov, Pale Fire (1962); Pynchon, *The Crying of Lot 49* (1966); Vonnegut, *Slaughterhouse Five* (1969); Fowles, *The French Lieutenant's Woman* (1969); Italo Calvino, *If on a Winter's Night* (1979). Notable precursors are Cervantes, *Don Quixote Part II* (1615), Sterne, *Tristram Shandy* (1759); Thackeray, *Vanity Fair* (1847). See Hutcheon (1980), Fludernik (2003), Neumann and Nünning (2014).

3.4. Classical focalization (Genette)

3-25. Adopting the term *focalization*, Genette sets out to explore the "different points of view from which … the action is looked at" (1980, 161). Further definitional questions include "Who sees?," "Who perceives?," "Who is the character whose point of view orients the narrative perspective?" (1980, 186), "Who serves as a text's center of orientation?," and, ultimately, "In what way is narrative information restricted with respect to completeness of information or omniscience?" (1988, 74). Although these prompts address different features – a text's alignment to a character's perception on the one hand and the overall scope and restriction of "narrative information" on the other – they are easily combined using the following general definition.

- ***focalization*** The selection and restriction of narrative information relative to somebody's perception, knowledge, and point of view.

Surveying Western narrative fiction, Genette distinguishes three major types of focalization – zero (unrestricted), internal (restricted to "inside views," that is, views into or from within a character's mind), and external (restricted to "outside views"). Genette also distinguishes three overarching arrangement patterns – fixed, variable, and multiple focalization (3-31).

3-26. In ***non-focalization*** or ***zero focalization*** the story's events are narrated from a wholly unrestricted or omniscient point of view. Typical examples are Henry Fielding's *Tom Jones* (1749) and many other 18C and 19C heterodiegetic or authorial novels. Here is an excerpt from a 20C novel, James A. Michener's *Hawaii* (1961).

> Across a million years, down more than ten million years [the island] existed silently in the unknown sea and then died, leaving only a fringe of coral where the birds rest and where gigantic seals of the changing ocean play. Ceaseless life and death, endless expenditure of beauty and capacity, tireless ebb and flow and rising and subsidence of the ocean. Night comes and the burning day, and the island waits, and no man arrives. The days perish and the nights, and the aching beauty of lush valleys and waterfalls vanishes, and no man will ever see them. (9)

The passage exhibits a panoramic point of view encompassing huge vistas of space and time. The narrator appears to have access to limitless information which transcends what is accessible to ordinary humans. He lightly refers to a time span of "more than ten million years" and asserts that "no man will ever see" the scenery's "aching beauty of lush valleys and waterfalls." To Genette's question "Who sees" the expected, if slightly surprising, answer is *nobody* because no perceiving character is present. To the question concerning the scope of narrative information the answer is *no restriction*: the narrator is omniscient. Hence, according to Genette, the passage is "nonfocalized." [But is it? See 3-34.]

3-27. In ***internal focalization*** the story's events are focalized through a story-internal character. Narrative information is basically restricted to data available to this character's perception.

- ***reflector*** A character whose perception filters the narrative.

The term reflector was introduced by Henry James (1937 [1909], 300), who also used the terms *center* and *mirror*. Alternate terms include ***internal focalizer*** (Bal), ***focal character*** (Genette), ***figural medium*** (Stanzel), and ***filter*** (Chatman). The proliferation of terms is an indication of the importance of the concept and the immense influence of the reflector mode style. Using a reflector character produces a subjective and impressionistic view of the story world. It allows the reader to co-experience what it is like to be in the head of somebody participating in the story's events. Third-person internal focalization is basically identical to the *figural narrative situation* (3.3.3), which, strictly speaking, wasn't invented until the early 20C period called "modernism." (However, Jane Austen's *Emma* (1815) is also frequently nominated as the first English figural novel. De Jong (2001) claims that proto-forms of reflectors were already used in Homer, around 1000 BCE).

3-28. For a typical example reconsider the beginning of Hemingway's *For Whom the Bell Tolls* (1943) (already qtd in ch1.2.5):

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

(Apologies for repeating a section of ch1.2.5.) The passage closely represents the reflector's current perceptions – things he sees, feels, and hears ("he could see," the "pine-needled floor," the "gently" sloping ground; the wind blowing "high overhead".) Note that all narrative information is restricted and aligned to the reflector's current spatial and temporal co-ordinates. The notable effect of this technique is that the reader is *sucked* into the story, invited to see the world just as

the character sees it, and co-experience what it is like to be a participant in the events. It is a hugely successful stylistic device, and we squarely owe it and its many variations to Henry James, James Joyce, and Virginia Woolf.

3-29. Many novels of literary impressionism were based on carefully chosen reflector characters. These included everyday people such as Woolf's Clarissa Dalloway (an upper middle-class mother and wife) and Joyce's Leopold Bloom (an advertisement canvasser). Other popular reflector figures were intellectuals, artists, and children (Caracciolo and Guédon 2017), or characters placed in exceptional circumstances. In Woolf's *Mrs Dalloway* (1925), one reflector is a shell-shocked and suicidal schizophrenic; in Graham Greene's *A Gun For Sale* (1936) the reflector is a murderer; and in Malcolm Lowry's *Under the Volcano* (1947) he is an alcoholic.

3-30. ***External focalization*** is a form of presentation that restricts itself to mere "outside views," neutrally reporting what would be visible and audible to a virtual camera (plus sound recorder), without any "inside views" into the minds of the characters. (In contrast, zero focalization freely allows, and internal focalization strictly depends on, inside views.) Externally focalized narratives typically consist of dialogue and "stage directions" only, as in the following often quoted beginning of Hemingway's short story "The Killers" (1927).

> The door of Henry's lunch-room opened and two men came in. They sat down at the counter.
>
> "What's yours?" George asked them.
>
> "I don't know," one of the men said. "What do you want to eat, Al?"
>
> "I don't know," said Al. "I don't know what I want to eat."
>
> Outside it was getting dark. The street-light came on outside the window. The two men at the counter read the menu. Nick Adams watched them. He had been talking to George when they came in.

[Not an entirely convincing example either? See 3-34 for a different reading.]

3-31. Genette additionally distinguishes three arrangement patterns. (1) Texts employing ***fixed focalization*** are exclusively presented from the point of view of a *single* reflector as in Joyce's *Portrait of the Artist as a Young Man* (1916). (2) ***Variable focalization*** occurs in narratives that employ *several* reflectors (in Woolf's *Mrs. Dalloway*, events are variously seen through the eyes of six major characters). (3) ***Multiple focalization*** (a special case of variable focalization) occurs in texts in which the events are told two or more times, each time seen through a different reflector (Patrick White's *The Solid Mandala*, see 9.2 for a detailed analysis).

Genette also points out that focalization patterns can be static or dynamic along longer stretches of text. Fixed internal focalization is a static pattern by definition, but other patterns dynamically shift from one type to another. Genette notes that many 19C novelists tend to introduce characters via externally focalized block description before picking one of them as a reflector and presenting the events from his or her point of view (1980, 190).

3-32. Two special cases of focalization have attracted some attention in the literature, so I will briefly mention them here:

- ***hypothetical focalization*** The representation of events or existents as they might have been perceived by a hypothetical observer or virtual spectator. [Herman 1994; Edmiston 1991, 150-9; Fludernik 1996, ch5.3.] Example: "Perhaps the eye of a scrutinizing observer might have discovered a barely perceptible fissure" (Poe, "The Fall of the House of Usher").
- ***empty center focalization*** A form of focalization that is similar to internal focalization except that there is no actual reflector character present in the scene. Focalization in this case is assumed to proceed from the point of view of an "empty (deictic) center." Banfield (1987 – discussion of the "Time Passes" section of Woolf's *To the Lighthouse*); Fludernik (1996, ch5.2 – "figuralization" in Mansfield's "At the Bay")

3-33. Here is a selectively annotated list of references to the classical (Genettean) account: Genette (1980, 185-194 [building on Blin's (1954) concept of *restriction de champ*]); Bal (1983, 35-38); Rimmon-Kenan (1983, 71-85); Nünning (1989, 41-60); Vitoux (1982); Cordesse (1988); Toolan (1988, 67-76); Kablitz (1988); Edmiston (1989; 1991: Introduction and Appendix); Füger

(1993); O'Neill (1994, ch4); Herman (1994); Deleyto (1996 [1991]); Nelles (1997, ch3); Jahn (1996, 1999, 2007); Niederhoff (2013) [focalization=restriction, perspective=perception]; Herman (2009). Focalization concepts have also been put to use in analyses of films (Jost 1989, 2004, Deleyto 1996 [1991], Branigan 1992, ch4, Kuhn 2009), pictures (Bal 1985, ch7; Bal 1990), comic strips (O'Neill 1994, ch4), and graphic novels (Hescher 2016). Controversial issues are discussed in Genette (1983, ch11-12), Chatman (1986), Bal (1991, ch6); Fludernik (1996, 343-347), Jahn (1996, 1999, 2007), Toolan (2001), Prince (2001), Phelan (2001), Margolin (2009).

3.5. Constructivist focalization (Jahn)

3-34. The model presented in the following 40+ paras is an expansion of several earlier attempts (Jahn 1996, 1999, 2007). If, along with Genette, you believe the subject has caused "enough ink to flow" (1988, 65) feel free to skip this section.

Why another account of focalization? Is anything wrong with the original model? Let us briefly review some critical comments.

- If we associate a reflector character with the question "who sees?" and the narrator with the question "who speaks?" it is easy to overlook that both can do both, ie, see and speak. Yet Genette intends the division to be rigorous, in effect barring the narrator from being able to see, both in the sense of "looking at the action" and in the wider sense of seeing something from a point of view. This, many narratologists now think, is a major fault.
- Closely related to this, calling an authorial narrative "nonfocalized" seriously begs the question. Rather than suggesting *no* point of view, omniscience more likely rests on the authorial narrator's license to assume *any number* of points of view, including some not normally available in real life. Michener's text in 3-26 really proves the point.
- Regarding "external focalization," as represented by the Hemingway text in 3-30, one does note that the passage includes the rather telling sentence "Nick watched them." As a matter of fact, the passage can be read as a segment of reflector mode narration following Nick's attention and interest focus (even if the text refrains from representing any of Nick's thoughts or emotions). But we also have strategies for reading other people's minds by observing what catches their attention and how they react (see Zunshine 2006 on "Theory of Mind"). "The Killers" is a story of initiation (3-13), and in order for it to work we need to know what the initiate experiences, not what an arbitrary camera, placed in an arbitrary location, happens to record (cp Chatman 1990, 122). (It is true, however, that the story also covers events that are *not* directly perceived by Nick.)
- While most of the examples cited by Genette refer to heterodiegetic texts, focalization is better conceived of as informing all narrative texts, including homodiegetic ones (Edmiston 1991). While the term "prefocalization" (Genette 1988, 78) has not caught on, Genette (1988, ch17) does attribute zero, internal, and external focalization to homodiegetic texts.
- *Perception* is a key concept with regard to focalization, yet most of its psychological underpinnings, especially its cognitive, emotional, and ideological conditioning, is ignored in Genette's account (Rimmon-Kenan 1983).

As will be shown in the following, it is not too difficult to act on the objections and suggestions listed here – we'll get rid of nonfocalization, accept Bal's (1991) narrator-focalizers, use a model that equally applies to homodiegetic and heterodiegetic texts, and treat perception as psychologically conditioned by the perceiver's mindset. In doing so, we may not get all issues sorted, even introduce problems of our own, but such is theory. In the words of Walt Kelly, the author of the classic *Pogo* cartoons, it will be our aim here to sprinkle some blossoms around and then run through the field barefooted in order to find out where the thorns are.

3.5.1. The constructivist basics

3-35. I am labeling the model "constructivist" because it builds on the assumption that we can never perceive a thing X directly, let alone as "what it really is." Constructivists assume that seeing amounts to creating a mental representation of the sensory input that our sense organs are capable of recording, in effect allowing us to see a real X as a mental Y. "Y" in this formula is a "percept," a mental representation that our mind is able to manipulate, store, and retrieve, as

opposed to both the pure sense data recorded by our senses, and also the world as it really is. As Stanley Fish and many constructivists since have argued, humans – like all sentient organisms – have a "shaping eye" that needs to construct what it sees, and being able to see is a function not only of the perceptive capabilities of the eye itself but of the interpretive mechanisms and strategies that an organism's neuronal setup brings to the task. Very simply and reductively put, we see (a) what our eyes are constitutionally capable of seeing, (b) what evolution has conditioned us to be attend to, and (c) what we have learned to see. Of course, human perception is limited in several ways. Thus our eyes happen to be insensitive to either extremely small or extremely large objects, such as objects on the atomic or the galactic scale. The deficiencies can be addressed by making use of (or inventing) tools like the microscope and the telescope. Another, equally important, limiting condition is that we may see sharp enough alright but simply lack the brains to see the relevant shape or pattern, such as recognizing a medical symptom. In this case, the deficiency can be cured by acquiring – learning – the interpretive strategy that enables us to do it. [See Nünning (2001); Church (2000) on "seeing as"; Fish (1980, 333) on "shaping eyes" and "interpretive strategies".]

3-36. Take the case of the common or garden frog, call him Kermit. Kermit's eyes are well suited to translate certain external stimuli into the sense data that his brain is able to interpret. Kermit is particularly interested in small, black, moving objects because these might be flies. Flies, to him, are food, so whenever he sees a small, black, moving object, he will hop to and try to catch it, errors having been known to occur. Other things he largely ignores, except maybe females and competitors, for whom, I am sure, he also has stock modes of perception and action. Kermit's perception, one can say, is driven by a specially tuned mindset. Does this amount to saying that a frog's and a human's perceptive mechanisms amount to the same thing? Indeed, the basic constructivist design seems to be just the same. What difference there is lies less in the perceptive power of a frog's and a human's eyes than in the different mindsets that drive us, and them. To Kermit, flies are food, to me they are not. If Kermit sees X as Y, I am more likely to see X as Z, a fact that not only holds for frogs vs people, but also for people vs people. There you go: this is the very phenomenon that our model seeks to theorize further.

Apart from its constructivist foundation, the present approach is indebted to several earlier accounts, especially Henry James's reflections on, and experiments in, perspectivized storytelling (1881), William James's (1890) theory of subjectivity, and Karl Bühler's (1934) notion of a person's spatiotemporal orientation and its projection into, and reflection in, language.

3-37. In order to list the parameters of focalization I will use the frame provided by the sentence "Who perceives what, how, from which point of view?" and from this generate the following multi-part mindmap.

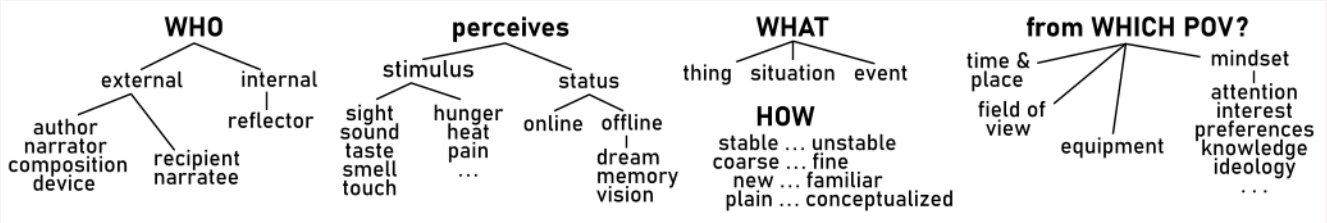

Fig. 8. WHO perceives WHAT from WHICH POV.

In the subject or WHO slot of this template we distinguish between external and internal subjects of perception. External subjects are either creators like narrators and authors,[10] or recipients like readers, hearers, or viewers. The verb slot lists the act of perception and parameters such as online or offline input based on the usual perceptual stimuli,[11] (offline perceptions being dreams, visions, hallucinations, and recalled memory scenes). The WHAT slot contains the percept or object of perception (the Y in the seeing-X-as-Y formula). Percepts may be stable or unstable (less or more ambiguous), fine or coarse in resolution, new or familiar, plain or supported by verbal

[10] Listing narrators as well as reflectors under the slot of perceiving subjects deviates from Genette's categorical distinction. However, once one accepts the concept of offline (imaginary) perception, it becomes clear that both narrators and reflectors are capable of speech and perception.

[11] Modes of perception include *exteroception* (the perception of external stimuli such as sights or sounds) and *interoception* (the perception of internal states such as hunger or pain).

concepts. (The ellipses marks in these phrases suggest the likely presence of intermediate phenomena.) Finally, the WHICH POINT OF VIEW slot includes facets like (i) the here-and-now situatedness of the act of perception (also known as the perceiver's *origo* or *deictic center*), (ii) the perceptual equipment available to the perceiver (including any technical and organic options as well as their affordances, limitations, and extensions (Herman 2011)), and (iii) the all-important aggregate of mindset factors.

3-38. While the classical definition of focalization as given in 3-25 is still compatible with our revised approach, we can now refine it as follows.

- ***focalization*** The perspectivization of the story world. Perspectivization is achieved by aligning narrative information to the orientation, perception, and thought of a ***focalizer***. A focalizer can be a narrator (a ***narrator-focalizer/***external focalizer) or a character (a ***reflector/***internal focalizer).

Like any perceiver, a focalizer "sees X as Y," in effect creating a filtered and colored view of the world. Apart from a focalizer's specific perceptional ability, restriction, or equipment (being short- or far-sighted, using a magnifying glass etc), his/her worldview also depends on a ***mindset*** of mental dispositions such as state of mind, attitude, interest, attention, knowledge, preferences, norms and values, ideological orientation, interpretive strategies etc. [Cp Rimmon-Kenan on "facets of focalization," Nünning on "norms and values," Fish on "interpretive strategies," Jackendoff on "preference rules".]

At this point, think of Patrick Süskind's novel *Perfume*, in which the main focalizer is gifted with an exceptional sense of smell. Or of Rose, the main character in Ursula LeGuin's "The Diary of the Rose," who knows how to operate a "psychoscope," a science fiction gadget that visualizes other people's thoughts. Next, think of the proverbial optimist who sees his glass as half full, or of people who have a "one-track mind." Or of our friend Kermit the frog, to whom most things out there either are or aren't flies. Think of a murder mystery in which one chapter presents the story's events as seen through the eyes of a pathological serial killer, while another shows us one of his attacks as filtered through the perception of a victim, and a third one that lets us witness the deductive reasoning of the profiler-detective second-guessing how the murderer's mind ticks. Note how the same narrative content could be presented quite differently – by selecting other focalizers or no internal focalizers at all, other points of attack, different sequential arrangements etc. Consider Mansfield's short story "Miss Brill" (1920), where we encounter a third-person reflector with an entirely rose-tinted worldview (to be wholly demolished in the end). Explore the hooliganized world created by and in the mind of the homodiegetic narrator-cum-first-person reflector in Burgess's *A Clockwork Orange* (1962). Grapple with the jaded pedophiliac's mind coloring Nabokov's *Lolita*. Note how easy it is to accept characters *and* narrators as focalizers and to adduce heterodiegetic and homodiegetic examples.

3-39. For ease of reference, I will generally consider a focalizer's perception and thought acts as parts of their mental activity or ***mentation***. Narrators, performing their job of focalizing the narrative, give the narrative a perspectivized shape. The narrative discourse itself is a product of the narrator's mentation, which usually includes reader-oriented (pragmatic) goals such as being polite, relevant, and informative. Reflectors, in contrast, entertain *no* pragmatic relations with the reader, nor have they any inkling of the fact that they are used as internal focalizers. It is the narrator-focalizer who controls everything, and, strictly speaking, all reflectors are only stand-ins – substitute focalizers, used by the narrator (the ***primary focalizer***), for the special purposes and effects of reflector-mode narration. There is only one way in which narrators and readers can interact with reflectors and that is by the unilateral process of "transposition," which will be discussed in a moment.

3-40. Let us be clear about how we are now "coming to terms" (Chatman 1990). First, any narrative text has at least one narrator-focalizer: this is a necessary condition. Second, a text may or may not make use of reflectors; reflectors are optional. Third, because narrators are treated as perceiving subjects I will avoid terms like "nonfocalization" or "zero focalization." Fourth, the terms "external" and "internal" will strictly refer to the perceiving subject's position of being external or internal to the story world (ch1.1.4). Specifically, seemingly neutral, objective, or behaviorist presentations of events in the story world will be taken to be indicative of an external or internal focalizer's mindset-driven perception (and an external focalization may definitely turn

out to be a colored one).

3-41. In order to get a firmer grip on further aspects of perception I would like to dig up a "mental model" of vision that I introduced in an earlier essay (Jahn 1996).

Figure 9 displays the basic relationships between a *World*, an *eye*, and a *field of vision*. More specifically, it lists two "foci" corresponding to two distinct meanings of the word *focus*, a key concept also in Genette's exposition. Hence F1, or "focus-1," is the burning point of the eye's lens (the point marked "+" indicating a person's literal "point of view"), and F2 or "focus-2," is the *area in focus* including the object focused on.

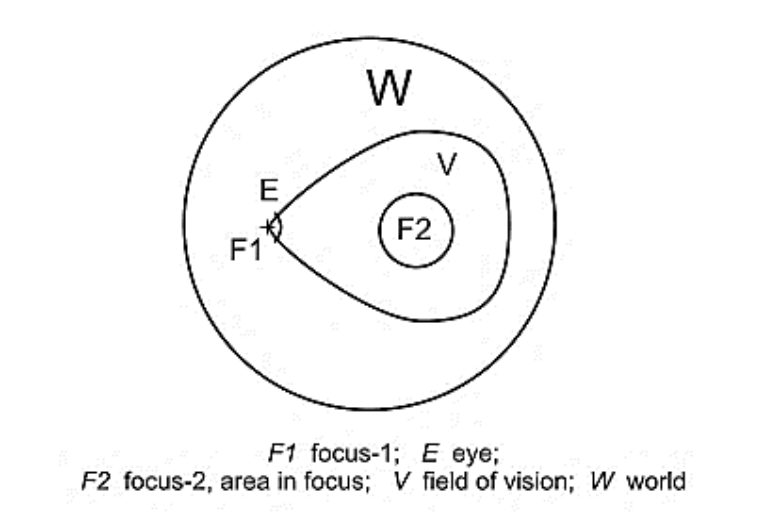

Fig. 9. A model of visual perception.

3-42. Because vision stands out as the prime example of perception, it lends itself to be treated as prototypical and paradigmatic. Of course, there are important differences between the various perceptual organs and channels, but there is also a strong family resemblance that allows us to recognize many common features, especially the element of mindset conditioning and the "shaping-eye" effect. Therefore, by metaphoric extension, our model's eye may be taken to represent any and all sense organs, while F1 stands for a perceiving subject, a focalizer, a text's "central consciousness" etc, and F2 indicates the "what" or "percept" that is seen (Bal's "focalized"). Finally, V circumscribes the extent of a focalizer's perception, including liminal cases such as peripheral, out-of-focus, and semiconscious percepts. Note that both F2 and V are variable in location and extent and therefore already act as initial filters on the complexity of the world. Because filtering errors are of particular interest in this context the reader is invited to take part in the striking "selective attention test" offered at www.dansimons.com/videos.html demonstrating the so-called "inattentional blindness" effect.

Commenting on the "vision-centric" approach pursued here, Huck (2009) has pointed out that we do not have an "aural, olfactory or even a haptic equivalent to a point of *view*: a point of smell, maybe, or a point of taste" (2009, 202). Actually, a "point of audition" does exist as a well-established film-theoretical term. Nevertheless, Huck makes a valid point, and the present account is based on a wider set of perceptual parameter question (3-37).

3-43. Along with Bickerton (1995) let us distinguish two kinds of perception:

- ***online perception*** Vision, audition, touch, smell, taste, and other sensations (pain, heat etc), based on actual sensory input. Jost's (1989; 2004), and Nelles's (1993) terms for the textual representations of these are ***ocularization*** (vision), ***auricularization*** (audition), ***gustativization*** (taste), ***olfactivization*** (smell), and ***tactivilization*** (touch).
- ***offline perception*** The imaginary sights, sounds, touches, smells, tastes, and other sensations that one perceives in recollection, vision, hallucination, and dream (without actual sensory data input). Often colloquially referred to as what one sees/hears "in the

mind's eye/ear."

As Gerald Prince (2001, 44) says, "the verb 'perceive' has to be taken in a broad rather than narrow acceptation: to apprehend with the senses (to see, hear, touch, etc) or with the mind, or with something like their equivalent. In other words, what is perceived may be abstract or concrete, tangible or intangible – sights, sounds, smells, or thoughts, feelings, dreams, and so on."

In Marcel Proust's seven-volume novel *In Search of Lost Time* (1913-27) (one of the key texts of 20C fiction and Genette's master test case), both online and offline perceptions show up as recurring topics (*leitmotifs*), and interestingly they are all seemingly chance and trivial – the *sight* of some trees from a coach, the *sound* of a spoon on a plate, the *feel* of uneven flagstones in a courtyard, the *taste* of a Madeleine cookie dunked in a cup of tea (that's the universally known one), the *smell* of a public toilet on the Champs Elysées, and *bending down* to open one's shoelaces.

3-44. Further on offline perception consider this passage about a condemned man's vision of future events:

> I see the lives for which I lay down my life, peaceful, useful, prosperous and happy, in that England which I shall see no more. I see Her with a child upon her bosom, who bears my name. I see her father, aged and bent, but otherwise restored, and faithful to all men in his healing office, and at peace. I see the good old man, so long their friend, in ten years' time enriching them with all he has, and passing tranquilly to his reward. (Dickens, *Tale of Two Cities*, copied from 5.2.1)

In fiction, the representation of imaginary perception generally uses the same styles and techniques that are used to represent characters' online perception. This can be employed for manipulative purposes as in the "verisimilar dream" case where the reader at a late point in the narrative proceedings is told that previous happenings were "all a dream" (cp James Thurber's short story "The Lady on 102"). That said, imaginary perception often advertises its status by being notably less realistic than online perception. It is, of course, not bound by real-life constraints and allows all sorts of spatiotemporal jumps. Add to this that it can be extremely fuzzy or "grainy" one moment and extremely "high density" the next, as when a significant memory detail swims into focus. The Proust examples mentioned above – all of them loaded "epiphanies" (3-18) – are cases in point. Perhaps the most famous example can be found in Wordsworth's "I Wandered Lonely as a Cloud" where, in the final stanza, it is the poet's *remembered* (offline) vision of the daffodils that makes him understand the true impact of the original experience:

> I gazed – and gazed – but little thought
> What wealth the show to me had brought:
>
> For oft, when on my couch I lie
> In vacant or in pensive mood,
> They flash upon that inward eye
> Which is the bliss of solitude;
> And then my heart with pleasure fills,
> And dances with the daffodils.

Consider also the finely paradoxical statement "I shut my eyes in order to see" generally attributed to the French painter Paul Gauguin.

3-45. Two special cases of offline perception are of particular importance. One is that in the process of narrating the narrator imagines or recollects the incidents of the story, or, to factor it out more succinctly, the heterodiegetic narrator *imagines* and the homodiegetic narrator *recollects*, recollection being a special type of imaginary perception. The other special case, often noted by theorists, is that narrative "invites the reader's imaginative cooperation" (Genette 1993, 39-40), or as Ohmann (1971, 14) puts it, the text "leads the reader to imagine a speaker, a situation, a set of ancillary events." As pictured in ch1.1.4, we, too, will consider the reader a crucial player in the "game of focalization" (Vitoux 1982).

3-46. Another point worthy of note is that imagining sights and sounds is generally easier than

imagining smells and tastes. As Ryan (2010, 470) argues, percepts of taste and smell may well rely on being associated with wider conceptual processes and structures. Indeed, it is sensible to assume that perception can involve conceptualization (thought), either concurrently or as a cause and effect process. Similarly, Herman (2009, 123) has argued that focalization needs to be correlated to general sense-making strategies available via a "cognitive grammar." We will take these notions on board by closely linking focalization and other mental activities.

3-47. Figure 10 lists and connects elements and processes of mentation.

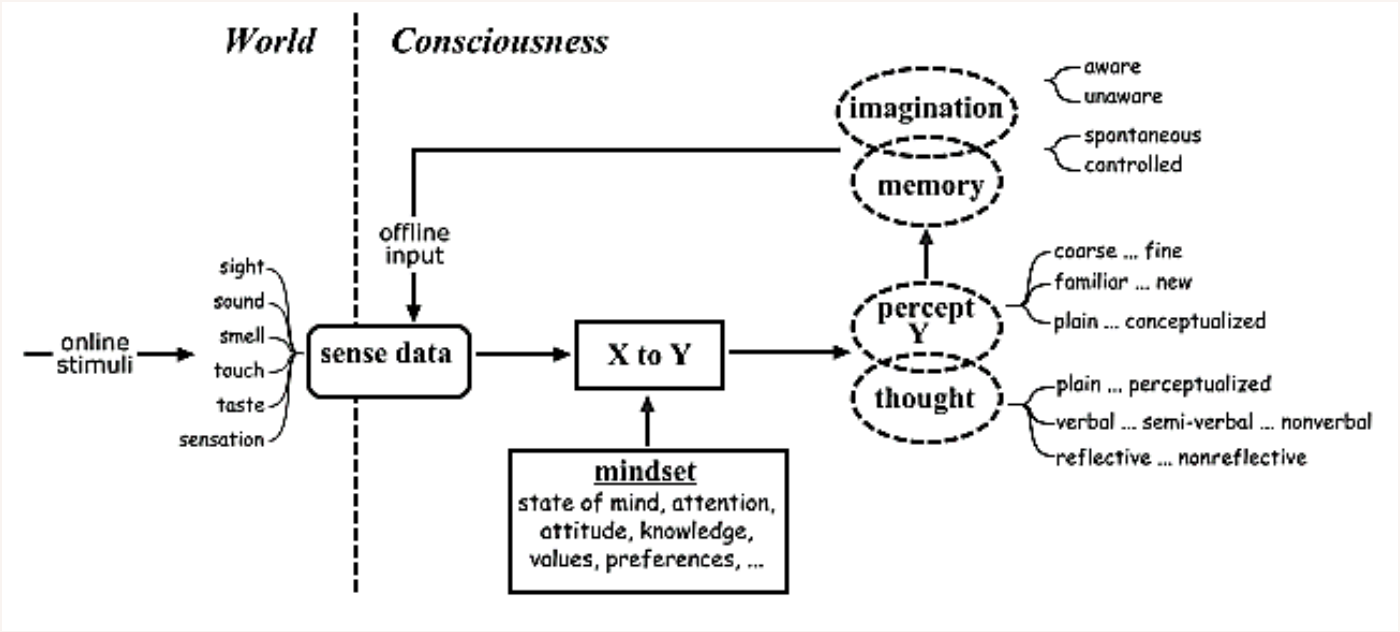

Fig. 10. Processes of mentation.

The graphic shows the external World as opposed to a human Consciousness, with the vertical dotted line separating the external and the internal or psychological space. World meets mind at the point where our senses translate external stimuli into "sense data." Considering the limited sensitivity of our sense organs this first filtering is responsible for the relative coarseness or "graininess" of the input data. The "X to Y" module then goes on to construe percept Y as the product of the data and any or all of the mindset factors.

3-48. Fairly often, a percept will be accompanied by a concurrent stream of thought, and for this reason *percept* and *thought* have been drawn as permeable and overlapping shapes. A percept may trigger a thought, and a thought may shadow or supplement a percept (see the note on "conceptualization" and "perceptualization" in the next para). For offline sense-data input the model specifies *imagination* and *memory* as input-generating modules. While much of the makeup of these modules resists rational and intuition-based analysis, what we can say is that, like percepts and thoughts, imagination and memory are best treated as linked and mutually supportive faculties. For instance, imagination can flesh out a fleeting impression and make a fuzzy memory more distinct. This generally is a necessary and enabling condition, but it can also be a possible cause of error (usually called the "false memory syndrome," see this Wikipedia entry for definition and examples). The farther we go back in memory the stronger the influence of imaginary gap-filling tends to be, up to a point where we can no longer be certain that what we remember ever actually happened (see 3-74 for a narrator's comment on this). Moreover, any sense data played back via the secondary route of memory needs to be reprocessed by the "X to Y" module, possibly resulting in a Y' markedly different from the original Y – usually because one's mindset has changed in the course of time. But the converse may also be true – very few if any of the elements generated in and by the imagination are wholly "new" because many offline percepts can be traced back to percepts already present in memory. Of course, even though not shown in the graphic, there is also a strong linkage between memory and the various mindset components.

3-49. Note that the narrator – the agent responsible for the text's realization – is under no obligation to present a focalizer's mentation exhaustively. Rendering all of a character's perceptions, feelings, thoughts and emotions at any given moment just isn't a practicable option. Much of the information would be redundant, communicative efficiency would suffer severely,

narrative speed would become unmanageable. Add to this that readers are usually good at handling selective information and filling gaps. Nevertheless, we can of course distinguish between styles of "rich" and styles of "sparse" representations. In "The Killers" example, for instance (3-19, 3-30), we encounter a markedly sparse representation which displays the reflector's visual and auditory percepts but excludes any mention of emotions, feelings, and thoughts. The opposite case – a rich representation covering much minute detail of many mental activities – can be found in Péter Nádas's novel *Parallel Stories* (2005).

3-50. For a further distinction, consider that both imaginative perception and memory recall can happen in "controlled" or "spontaneous" fashion, with (obviously) various stages in between. Typically, a narrator can exert a high degree of control over his or her imaginative visions, and these are often modified by processes of revision. We need to use the term "spontaneous" with due caution anyway because there may be all sorts of causes that we are not conscious of. Let us also note that the perceiver of imaginative data may be aware or unaware of its offline status (which may be used as a deceptive device). Still, as long as we are aware of the deceptive potential, the distinction generally allows us to classify a dream as "offline/unaware" and a day-dream as "offline/aware".

3-51. Percept and thought usually appear in correlation and interaction, and sometimes they may be linked as cause and effect. I will use the term ***conceptualization*** to describe the fact that a percept has triggered a thought or evoked a particular concept (for instance, I may recognize a squiggle on a piece of paper as *uncle George's signature*). Conversely, I will speak of ***perceptualization*** when a thought or concept evokes a percept ("imagine a *duck*"). Generally, a person who has access to specialist knowledge is likely to have more "articulate" perceptions than others, such as when somebody is able not only to just see a tangle of wires but to identify a damaged electrical coil. Narrative texts present many instructive examples. Readers generally perceptualize what the text tells them (see 3-53, 3-61 for examples), and narrators often take great pains to use the exactly right words to represent a character's perceptions. Note the use of typical diction and dialect in the following example:

> Ol Abe always felt relaxed and great in his Cadillac and today he felt betteranever. Ghuddham if this wasnt a real fine day and he looked at the back seat, at the floor (seems to be a little messy, but the boys always clean it out after theys finished washin), rubbed his hand along the fine upholstery, patted the dashboard again (ghuddamn if it didnt shine like a babys ass), turned up the radio and once more dug the cats washin their cars with buckets of water, soap and sponges. (Selby, *Last Exit to Brooklyn* 275)

Consider also the following passage in which the text simulates the reduced conceptual competence of an animal, a lion, who the narrator momentarily picks as a reflector. The "object" and "thing" observed by the lion is a safari jeep. There is quite a jarring effect when the text suddenly shifts to an entirely different level of conceptualization.

> Then watching the object, not afraid, but hesitating before going down the bank to drink with such a thing opposite him, he saw a man figure detach itself from it and he turned his heavy head and swung away toward the cover of the trees as he heard a cracking crash and felt the slam of a .30-06 220-grain solid bullet that bit his flank and ripped in sudden hot scalding nausea through his stomach. (Hemingway, "The Short Happy Life of Francis Macomber")

3.5.2. Types and subtypes of focalization

3-52. Depending on whether an act of mentation involves online or offline perception, let us speak of ***online mentation*** and ***offline mentation***. Using these terms we can lay out a general framework of focalization that includes levels, dependencies, and processes.

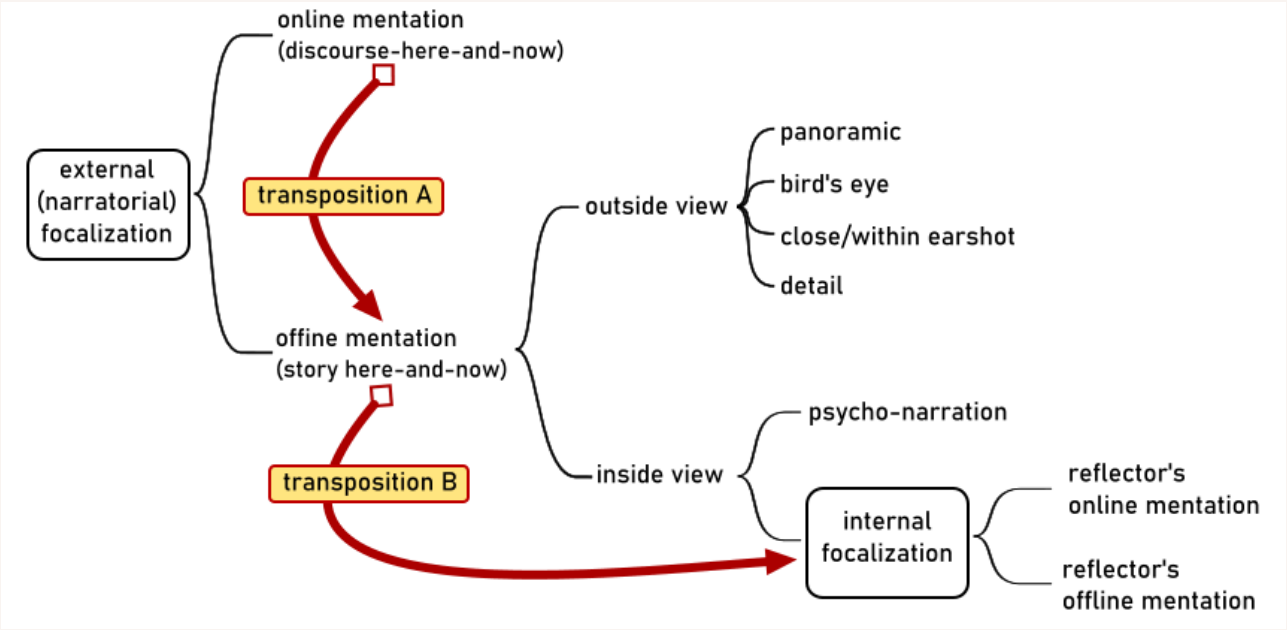

Fig. 11. The framework of focalization.

A narrator's *online mentation* is grounded in the point-of-view co-ordinates of his or her discourse here-and-now (basic stance: Here I am, telling this story). Provisionally, we may take this to be the reader's reception here-and-now as well – Here I am, reading this novel, in the presence of someone telling a story. A narrator's *offline mentation* allows him or her – and us – to relocate to the imaginary co-ordinates of the story, as indicated by the "transposition A" jump from discourse here-and-now to story here-and-now. Many point-of-view options fan out at this point, for instance, Here I (the narrator) am, looking at the scene of action from a ***panoramic point of view***; or, Here I am, positioning myself ***within earshot***, so that I can overhear (and thus report) a conversation between characters; or, Here I go, executing "transposition B" to co-experience my reflector's online or offline mentation. Readers, for their part, may imaginatively hear the narrator speak and, like the narrator, let themselves be transported to various locations in the story here-and-now, or right into the mind of a reflector character. Of course, characters, too, imaginatively transpose to other times and places, but in their case it is from a base position of story here-and-now to offline here-and-now, and, normally, back again. As just noted, in the mode of internal focalization any reflector's offline here-and-now becomes a target transposition location for narrator and reader as well.

3-53. Unsurprisingly, authors and narrators are well aware of the fact that transposition is part and parcel of the "imaginative co-operation" required from readers (Genette 1993, 39). Note the following "invitations:"

> It was now the middle of May, and the morning was remarkably serene, when Mr Allworthy walked forth on the terrace where the dawn opened every minute that lovely prospect we have before described to his eye. . . . Reader, take care. I have unadvisedly led thee to the top of as high a hill as Mr Allworthy's and how to get thee down without breaking thy neck, I do not well know. However, let us e'en venture to slide down together, for Miss Bridget rings her bell, and Mr Allworthy is summoned to breakfast, where I must attend, and, if you please, shall be glad of your company. (Fielding, *Tom Jones* [1749])

> You shall see them, reader. Step into this neat garden-house on the skirts of Whinbury, walk forward into the little parlour – there they are at dinner. . . . You and I will join the party, see what is to be seen, and hear what is to be heard. (Charlotte Brontë, *Shirley* [1849])

As a matter of fact, we can hardly ever refuse a narrative's invitation to "step into" the story or join the story's "party" – unless, that is, if we decide to stop reading or listening. Interestingly, the Brontë passage was copied from 2-18, where it is cited as an example of narrative "transgression."

In the light of our present theorizing I am tempted to say that it is nothing less than a narrative essential. Nevertheless, we should allow for the fact that potential transposition targets may exert a variable gravitational pull, depending on factors like the perceptual graininess of the text and the degree of narratorial or reflectorial prominence. As we saw in our initial discussion of the figural narrative situation (ch1.2.5) features like these are often directly correlated.

3-54. The concept of transposition is squarely owed to Karl Bühler, who illustrated it by referring to the saying *If the mountain won't come to Mohammed then Mohammed must go to the mountain*. In Bühler's adaptation, Mohammed is cast in the role of a perceiver, and the mountain is assumed to be a distant object beyond his range of online perception. Yet Mohammed doesn't necessarily have to go to the mountain. Locked in his current spatiotemporal coordinates – his "I-here-now point of origin" or (as Bühler called it) "origo" – Mohammed can (i) let the mountain come to him by picturing it to be standing right outside his window, or else (ii) he can *mentally* go to the mountain and see it from an assumed point of view, or (iii) he can point in the direction of where he knows the mountain to be, describing it from afar and relating it to his own bodily orientation. Type (ii) is what Bühler famously calls "transposition to the *Phantasma*" – the precise move readers execute when they immerse themselves in a fairy tale, listen to a travelogue, or read a novel. For illustration Bühler presents the following eye-opener:

> Suppose the hero is sent to Rome and the author has the choice whether he should continue his account with *there* or *here*. "*There* he stamped around the forum the whole live-long day, *there* . . ." It could just as well be *here*; what is the difference? *Here* implies a displacement of Mohammed to the mountain, whereas *there* at such a position in the context simulates the third type. (1990 [1934], 155)

Bühler also points out that even in everyday perception and conversation we are continually transposing to virtual deictic positions, mentally rotating our body axes in order to assess where something is in relation to ourselves, or how something must appear to somebody else, or to guess what it must be like to be in a particular situation. Interestingly, the one target location Bühler does not mention is moving into somebody's head and seeing the world from a reflector's point of view. However, it is clear that this, too, is a variant of his transposition to the Phantasma.

While I will stick with Bühler's term many competing concepts have been suggested in the literature. Gerrig (1993) uses "immersion," Duchan et al (1995) develop a "deictic shift theory," Ryan (1991) describes processes of "recentering" and "relocation" in possible worlds; Ryan (2013) discusses "immersion," "telepresence," and "interactivity" as well as degrees of readerly "absorption," including (at the upper end of the scale) stages such as "imaginative immersion," "entrancement," "addiction," and others. Wolf (2013) and Koblizek (ed 2017) are readers on a theory of "aesthetic illusion." Drawing on neuroscientific research, Wojciehowski and Gallese (2011) have proposed a widely noted theory of "embodied simulation."

3-55. Let's look at two examples of ***narratorial focalization***, both specifically concerned with online mentation. A narrator's online mentation is usually presented in the narrative mode of comment (5-13). Comment is a narrative pause which momentarily focuses not on past story events but on the narrator's current situation, as s/he is presenting (writing or speaking) the narrative discourse. Here are two examples, one homodiegetic and one heterodiegetic.

> I read over the above lines and cannot help remarking in myself a certain discomfort, a physical oppression only too indicative of the state of mind in which I sit down today in my little study, mine these many years, at Freising on the Isar, on the 27th of May 1943, three years after Leverkühn's death (three years, that is, after he passed from deep night into the deepest night of all), to make a beginning at describing the life of my unhappy friend now resting – oh, may it be so! – now resting in God. (Mann, *Doctor Faustus* 9)

The novel's homodiegetic narrator here pauses in the act of telling the story to look at "the above lines" (this is the online perception of the manuscript that lies before him, and at the same time it is the printed text we are just reading). Then he goes on to comment on his present environment, the current date, his "state of mind," and his current difficult project, which is writing the biography of his friend Leverkühn. The passage helps us build a mental image of the narrator, his discourse here-and-now, his emotional state, and, last but not least, the particular mindset that

drives his perception of the story matter. Logically enough, we will call this type of focalization ***online homodiegetic*** just as we can call its third-person counterpart ***online heterodiegetic***.

3-56. For an example of the online heterodiegetic type we'll go right back to one of the earliest novels in English, Robert Greene's *Pandosto*, written in 1588. It opens as follows:

> Among all the passions wherewith human minds are perplexed there is none that so galleth with restless despite as that infectious sore of jealousy, for all other griefs are either to be appeased with sensible persuasions, to be cured with wholesome counsel, to be relieved in want, or by tract of time to be worn out – jealousy only excepted, which is so sauced with suspicious doubts and pinching mistrust that whoso seeks by friendly counsel to raze out this hellish passion, it forthwith suspecteth that he giveth this advice to cover his own guiltiness.

Here the heterodiegetic narrator starts out with a general reflection. Although not explicitly mentioning his current environment, his here-and-now is of course present in the very existence of the discourse text itself. Detecting certain "voice markers" (1-11) we can hear the narrator's voice in his emotional diction and intricate parallelisms (euphuisms). Moreover, his sweeping statements on the subject of jealousy seem to invite us to partake in the social game that psychologist Eric Berne has called *Ain't it Awful*. Then, by way of perceptualization, he begins to create two actor roles: one a victim of the "hellish passion," and the other a well-intentioned but ineffectual counselor, both turning into fleshed-out characters in what follows. (In *A Winter's Tale* Shakespeare used a modified version of the plot.) Just like in the Mann passage quoted before, the narrator's mindset shapes form and structure of the narrative he is going to tell.

3-57. Many critics have dismissed comment passages, especially when coming from a heterodiegetic narrator, as rambling and irrelevant excursions. True enough, momentarily foregrounding the narrator's here-and-now, they keep the reader from getting on with it – getting on with what the characters do and what happens next at the level of story here-and-now. However, as the two excerpts demonstrate, narrators may use such "intrusions" (Lodge 1992, ch2) for important tasks such as revealing their mindsets, reaching out to their readers, and creating a common focus of interest. Now often termed "metanarrative comment," a narrator's online mentation is well worth close analysis (Neumann and Nünning 2014); be warned, however, that some narrators may turn out to be unreliable or even deceptive both in presentation and in evaluation (7-07). If, on the other hand, narrators do not let any online mentation enter their discourse then it is up to the reader to work out the teller's mindset and communicational stance from other textual cues.

3-58. From narratorial online mentation we now turn to narratorial offline mentation, where the narrator is looking at what is happening in the story world. Five main types (plus many subtypes) can be derived by combining three features – (i) presence or absence of characters in the scene, (ii) location of the narrator's point of view/point of audition, (iii) choice of outside or inside views.

(1) Outside view I: no characters in scene
In a scene without any characters the narrator freely positions him- or herself so as to report happenings and describe existents from a ***panoramic***, ***bird's eye***, ***close-up***, or ***detail*** point of view. (The Michener passage in 3-26 and the Cozzens incipit in ch1.2.4 are presented from a panoramic point of view.)

(2) Outside view II, characters in scene
Even if there are characters – potential reflectors – present in the scene, the narrator may still choose to use outside views only. The point-of-view positions or camera shots are the same as listed in (1). The ***within earshot position*** perhaps deserves special mention because it identifies a point of audition that allows the narrator to overhear and report a current conversation. (See the annotated Hardy passage in 3-61 for an example.)

(3) Inside view I: hypothetical
Without actual or certain knowledge of what a character saw or thought, the narrator reports what s/he thinks a character "must have" seen or thought – the basis of the inference being implicit self-characterization (7-05), general and actual behavior, or even ordinary speculation (loosely called "mind-reading"). The device is frequent in heterodiegetic nonfiction such as

historiography and biography, but it can also appear in homodiegetic speculation on other minds (or even one's own, see 3-74. Example: "Kafka must have been wildly resentful of his two brothers" (Cohn 1999, 27).

(4) Inside view II: psycho-narration
Looking into a character's mind, the narrator reports and comments on conscious, semi-conscious, or unconscious processes from a distanced, "psycho-analytical" point of view. Typically, the narrator will discuss and evaluate a character's mentation, and may also express what the character is *not* aware of. As Cohn (1999, 26) puts it, it is a "technique where the narrator's voice is clearly set off from the language that runs through his subject's head" (see 8-12, 8-17).

(5) Inside view III: internal focalization
The narrator positions him- or herself in the mind of a reflector, thereby delegating focalization to the reflector's mentation. This is the standard setup of reflector-mode narration in general, and the figural narrative situation in particular (ch3.3.3).

3-59. In the process of reading, attribution of focalization must be considered revisable and dynamic. Consider the sentences "The room was dark. John opened the door and entered" (Chatman 1990, 30). One can easily read this as "outside view I (no character in scene)" for the first sentence and "outside view II/character in scene" for the second, with perhaps a time lapse in between. Now consider, in contrast, "John opened the door and entered. The room was dark." A likely reading for this is "outside view II (character in scene)" for the first sentence and "inside view III (internal focalization)" for the second. However, if we accept that cognitive "recency" beats cognitive "primacy" (as I think we should, Jahn 1997) then "John opened the door" can already be read (or re-interpreted) as internal focalization. In a similar vein, the troublesome incipit of Hemingway's "The Killers" can be seen as either (a) involving a shift from "outside view/characters in scene" to "inside view/internal focalization" or (b) as involving no shift because the whole passage can be re-interpreted as "inside view/internal focalization" once Nick is established as a reflector. The Huxley incipit discussed in ch1.2.6 is a similar case.

3-60. Further refinement to narratorial offline focalization becomes available by paying attention to the various modes, goals, and preferences of homodiegetic vs heterodiegetic narration. As readers of this Guide you know that homodiegetic and heterodiegetic content mainly varies with respect to the accessibility, validity, and accountability of information. By default and convention, the heterodiegetic narrator has access to other minds and may freely and factually present third-person inside views, while the homodiegetic narrator has first-hand access to the mind of the experiencing-I/first-person reflector only (with category (3), above, possibly serving as a substitute option). Unlike heterodiegetic narrators, homodiegetic narrators are only witnesses to the narrated events, and the reliability of their judgment can always be challenged by the question *How do you know*. The heterodiegetic narrator *imagines*, and what s/he imagines is narrative fact; the homodiegetic narrator *recollects*, and what s/he remembers may or may not be true. As for the fifth type, internal focalization, we can, of course, differentiate between homodiegetic (first-person) and heterodiegetic (third-person) reflectors, but since both types of reflectors are equally locked in the here and now of the story world differences between them can only be small. The Chandler excerpt that was quoted in ch1.2.8 and the technique of *interior monologue* (8-15), which occurs in both homodiegetic and heterodiegetic texts, illustrate the point.

3-61. Scarry's (1995) annotated reading of the beginning of Hardy's *Tess of the d'Urbervilles* may serve to illustrate the heterodiegetic case of *outside view II, characters in scene*. Scarry's annotations spell out the "labor of imaginative construction" that the text puts on its readers. It is a great experiment in close reading.

> On an evening in the later part of May ***[picture this:]*** a middle-aged man was walking homeward from Shaston to the village of Marlott, in the adjoining Vale of ***[hear the names]*** Blakemoor or Blackmoor. ***[Look closely at the walker's legs.]*** The pair of legs ***[now picture their work of weight-bearing]*** that carried him ***[assess how well they hold that weight]*** were rickety, ***[and how that affects his motion]*** and there was a bias in his gait ***[watch which way the load leans]*** which inclined him ***[superimpose a geometric figure into the midst of this representational picture]*** some what to the left of a straight line. . . . ***[Picture a second person.]*** Presently he was met by an elderly parson ***[look closely at his legs]*** astride on a ***[look closely at the colour]*** gray mare,

> who, as he rode, ***[hear the sounds coming now]*** hummed a wandering tune. ***[Hear a voice saying]*** "Good night t'ee," ***[and look to see who it comes from]*** said the man with the basket. (Scarry 1995, 21)

Some commentators question whether readers always read as imaginatively perceptive as Scarry proposes, or indeed whether it is something a competent reader should do. Sanford and Emmott's (2012) distinction between phases of "deep" and "shallow" text processing might be worth exploring further. To my mind, however, whether realistic or not, Scarry's reading is highly enlightening, and if there is a choice between it and one that is shallow, or cursory, or careless, there is every reason to give it particular weight and attention. Moreover, regarding the special context of outside-view focalization it is striking how Scarry's experiment brings out the range of possible spatial standpoints, with the "within earshot" option obviously playing a prominent role. Specifically, Scarry's reading mode demonstrates how a passage of narrative text can be based on camera-like "shots" and "angles," as mind-mapped in 3-52 Indeed, many of the technical terms used in cinematic practice would seem to be applicable (see paras 2 and 5.1 of Jahn 2021b).

3-62. At this point we are, of course, strongly reminded of Genette's call to order that "unlike the director of a movie, the novelist is not compelled to put his camera somewhere; he has no camera" (1988, 73). Against this let me advocate the very opposite presumption – that a narrator does have a camera, albeit only a virtual one, a recording device that selects and displays the sights and sounds that encompass a story's scenes and events. Indeed, we can go further and say that the narrator has *two* virtual cameras: one for outside views, and one for inside views – a ***scenic camera*** and a ***psycho-camera***. Needless to say, remarkable perspectivization analogies exist between visually and textually represented sequences of events, as testified by terms like *vision from behind* and *vision from within* (Pouillon's definitions of narratorial and reflectorial focalization, approvingly cited by Genette 1980, 189) and shots taken by a film camera, such as the "over-the-shoulder" and the "point-of-view" shot (see ch9.6 for an analysis of a filmic scene).

To labor the point just a little, consider the following impressive "zoom-out" shot, depicting a reflector's offline vision.

> Out from Brocton. across the entire county, across county after county, across state after state, across woods and templed hills, across waterways and railways, across beaches, bays, and capes, across the corporate limits of towns large and small, across great cities spreading for square miles, across the enormous panoramas of the whole eastern seaboard, the same shining morning, the same serene radiance, might confidently be figured to lie. (Cozzens, *By Love Possessed* 509).

3-63. A focalizer, we said earlier, sees X as Y, creating a filtered and colored image of the world depending on a range of mindset dispositions. Contrasting the offline perceptions (memories) of four hypothetical travelers – four potential focalizers – William James offered this splendid illustration:

> Let four men make a tour in Europe. One will bring home only picturesque impressions, costumes and colors, parks and views and works of architecture, pictures and statues. To another all this will be non-existent; and distances and prices, populations and draining arrangements, door- and window-fastenings, and other useful statistics will take their place. A third will give a rich account of the theatres, restaurants, and public balls, and naught beside; whilst the fourth will perhaps have been so wrapped in his subjective broodings as to tell little more than a few names of places through which he passed. (William James, 1890, 286-7)

One can easily recognize that the four men's varying "impressions" – their filtered and colored views of the world – are the result of perceptions caused and shaped (partly also impeded) by individual mindsets. Interestingly, James refrains from censuring any of the views as inadequate or false, even though it would surely be fair to say that the fourth man is less perceptive than the other three. Henry James, recognizing the literary potential of his brother's thought experiment, added a significant twist to it in his famous image of the "House of Fiction":

> [At] each of [the windows of the House of Fiction] stands a figure with a pair of eyes, or

> at least with a field-glass, which forms, again and again, for observation, a unique instrument, insuring to the person making use of it an impression distinct from every other. He and his neighbours are watching the same show, but one seeing more where the other sees less, one seeing black where the other sees white, one seeing big where the other sees small, one seeing coarse where the other sees fine. . . . (Henry James, Preface to *The Portrait of A Lady*)

Translated into the terms used here, this means that "watching the same show," one observer sees X as Y while another sees X as Z, invoking the very "seeing-as" condition of focalization that our constructivist approach builds on. Of course, the important question – touching fiction as well as life in general – is whether one's seeing-as interpretation of the world is correct or distorted, whether it gets us through in life, and whether it agrees with other people's perceptions. But we need to tread carefully here: views that may, at first glance, strike one as unusual or even pathological may turn out to be valid and enlightening in the long run or under special circumstances. Often enough, as readers of fiction, we encounter a strange worldview that we are happy to try on for size, on the speculative notion that it might open our minds to some new and worthwhile insight. For instance, consider the new genre of "autism fiction," of which Mark Haddon's *The Curious Incident of the Dog in the Night-Time* is the perhaps best-known example.

3-64. While the Jamesian examples strongly suggest that perception is always and inescapably subjective, successful social interaction normally relies on the fact that people are able to see things identically. Hence people can usually agree on what they have seen, especially when a percept is shaped by a common conceptualization or summarized at a certain level of abstraction. When a train is pulling into a station, most people – very small children, train spotters, and space aliens excepted – will see no more nor less than just that, a train pulling into the station. This is because irrespective of individual mindsets and preferences, percepts are often compacted to fit universally familiar frames. Moreover, words like "train," "station" etc are so unspecific that a reader can easily accept the associated perception as inherently identical, verifiable, and sharable.

Normally, focalizers are singular entities, but once they begin to perceive and think identically and collectively, either as "social minds" (Palmer 2010) or as "interpretive communities" (Fish), they can appear in the plural number. We can therefore distinguish between ***singular focalizers*** and ***collective focalizers***, the latter including both plural narrators or a group of characters ("collective reflectors") (see Stanzel (1984, 172); Banfield (1982, 96); Richardson (2009). Examples:

> We did not say she was crazy then. We believed she had to do that. We remembered all the young men her father had driven away, and we knew that with nothing left, she would have to cling to that which had robbed her, as people will. (Faulkner, "A Rose for Emily," a "we-narrative" (ch3.3.4)).

> A small crowd meanwhile had gathered at the gates of Buckingham Palace. Listlessly, yet confidently, poor people all of them, they waited; looked at the Palace itself with the flag flying; at Victoria, billowing on her mount, admired the shelves of running water, her geraniums; singled out from the motor cars in the Mall first this one, then that . . . .
> ***[local use of collective reflectors in Woolf's Mrs. Dalloway]***

Using the label "social minds" Palmer analyzes many cases of shared perception and thought. In scenarios like political debate, the courtroom, and war we can frequently observe groups of social minds, each characterized by specifically colored perceptions, to meet and, often enough, fight.

3-65. Given that two observers may or may not see things identically we often find ourselves in the critical position of having to compare percepts and assess degrees of difference or congruence. Comparing the percepts of two observers watching the same scene, a judgment can range from perfect congruence to total discrepancy (also known as consonance and dissonance, Genette 1983, 66; Caracciolo 2013):

- ***congruent perception*** An object, person or event X perceived identically by two (or more) observers, both seeing X as Y.
- ***discrepant perception*** An object, person or event X perceived differently by two observers, one seeing X as Y and the other seeing X as Z.

Note that these terms identify two polar positions on what should be seen as a sliding scale. Congruence may be partial only, percepts may count *as* identical or non-identical, differences may be small or big, relevant or irrelevant to a question in hand. As in James's House of Fiction, in order for us to judge a focalizer's perception we need to compare it to an alternative perception of, preferably, the same thing. (And if we already have a reasonable grasp of a character's mindset we might be able to predict how s/he would see X if the situation ever came up.) Alternative perceptions clearly become significant when the text juxtaposes *narrator vs. character* (narratorial focalization challenging internal focalization) or *character vs. character* (internal focalization A challenging internal focalization B). If we add the reader to the equation, as we should, we can also set *reader vs. narrator* and *reader vs. character*. Although Henry James envisaged a consonant relationship between narrators and readers because "the teller of a story is primarily, none the less, the listener to it, the reader of it, too" (James [1934, 63]; qtd Stanzel [1984, 141]), it may be prudent to treat the reader as a free agent who can, if necessary, deviate from the narrator's point of view up to outright challenging his or her judgment. Ch9.5 discusses a striking example.

3.5.3. Mental spaces and focalization

3-66. The most promising if technically intricate toolset for handling discrepant perception is offered in Gilles Fauconnier's (1994) theory of "mental spaces." Mental space theory focuses on the fact that ordinary thinking often needs to use bubbles of protected semantic spaces, not only for keeping things apart and orderly but also for thinking in terms of comparison, projection, and "blending" (Fauconnier/Turner 2002). Many mental spaces are construed on the spur of the moment, while others are cordoned off more permanently as when we contrast the world of the present and the world of the past, the world of appearances and the world of scientific fact, the world of war and the world of peace, the world of facts and the world of imagined things. Indeed, our constructivist formula "seeing X as Y" is a "space-builder" construction (Fauconnier 1994, 16), creating mental spaces X and Y (never mind that X in the constructivist's view is not directly accessible). However, when the narrator sees X as Y, and a character sees X as Z, and the reader sees X as W, then Y, Z, and W constitute mental spaces that invite the dynamics of similarity, contrast, projection, and blending. The creative reasoning that is triggered in this process may well go right to the heart of a text's meaning and purpose. See Dancygier (2012) and Schneider and Hartner eds (2012) for more detailed accounts. Possibly the approaches known as Text World Theory (Gavins 2007) and Possible World Theory (Bell and Ryan 2019) could meaningfully complement Fauconnier's system.

3-67. Fauconnier illustrates the basic mechanisms of mental spaces by referring to the seemingly odd sentence "In Len's painting, the girl with blue eyes has green eyes" (1994, 12). In order to deal with the sentence we need to construct two spaces: (i) the world of reality, where the girl has blue eyes, and (ii) the world of Len's painting, where her eyes are green. Now, although the girl is understood to be the "same" girl, she resides in two spaces where she is assigned different properties creating the blue vs. green eyes discrepancy that would be contradictory if occurring within a single space. Balancing separate spaces, essential insight may become available via comparison and projection. I don't actually know what insight, if any, accrues from Len's picture; however, here is a perfect narrative companion piece, in which the insight arising from blending literally smacks the first-person narrator in the face:

> Later I learnt, among other things, never to buy cheap raincoats, to punch the dents out of my hat before I put it away, and not to have my clothes match too exactly in shade and colour. But I looked well enough that morning ten years ago; I hadn't then begun to acquire a middle-aged spread and – whether it sounds sentimental or not – I had a sort of eagerness and lack of disillusion which more than made up for the coat and hat and the ensemble like a uniform. The other evening I found a photo of myself taken shortly after I came to Warley. My hair is plastered into a skullcap, my collar doesn't fit, and the knot of my tie, held in place by a hideous pin shaped like a dagger, is far too small. That doesn't matter. For my face is, not innocent exactly, but *unused*. I mean unused by sex, by money, by making friends and influencing people, hardly touched by any of the muck one's forced to wade through to get what one wants. (Braine, *Room at the Top* 7)

The person jointly present in both current and past mental spaces is the homodiegetic "I." Like the girl with the blue and green eyes , this figure splits into two versions: the narrating-I, situated

in his current discourse here-and-now, and the ten-years-younger experiencing-I as it appears in recollection and photo. Surveying the mental space of the photo the narrator notes some good and some bad points in the outward and inward constitution of his younger self. Comparing this to what he has become in the mental space of the present, the narrator comes to the harsh realization that while the good points outweighed the bad ten years ago, things are just the other way round now.

3-68. How can one explicate the blending processes at work in this passage? The best way to do this is to draw one of Fauconnier's typical mental space diagrams and to employ some of the specialist terms developed for the purpose. Because the narrator's striking conclusion is already based on a completed blending process the first thing we must do is "decompress" the text in order to reconstruct its "input spaces" – in this case, it is the ten-year old picture of the character on the one hand, and the current feature set of the narrating-I on the other. Actually, we know that the character's name is Joe and that at story-now he is 25 (p32), so let us simply use "Joe-25" and "Joe-35" to designate the experiencing-I and the narrating-I, respectively. Although the feature sets of the two Joes are not identical, there are several "counterpart mappings" linking similar as well as contrasting elements such as clothes and facial features. A selection of features from the input spaces is now "projected" into the "blended space," as represented by the straight arrow lines going towards the rounded rectangle. As a result, the blend acquires an "inner space" compression of Joe's external change (cp Fauconnier/Turner 2002, 94). In addition, the blend is further "elaborated" by adding the psychological and ethical dimension that eventually makes the narrator recognize his regrettable moral decline. Moreover, this additional insight is apparently "projected back" to the original spaces (curved arrow lines) so that the characterization derived from the blend retroactively also colors the two original input spaces. In fact, this is what enables the narrator to make his pointed comparison. (See also Fauconnier/Turner 2002, 46; Hartner 2012, 102.)

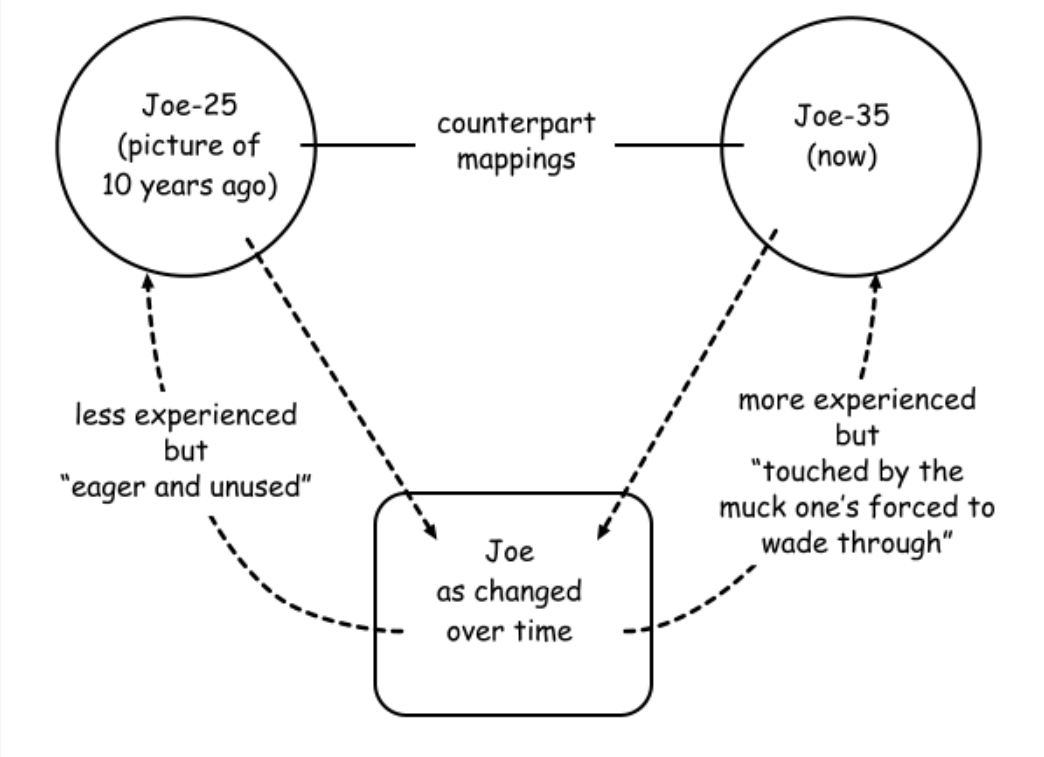

Fig. 12. Blending in John Braine's *Room at the Top*.

3-69. For a heterodiegetic example let us explore a passage from J.G. Cozzens's *Castaway*, first published in 1956 (previously discussed in Jahn 1996). The context is as follows. The reader has so far followed the novella's single reflector, Mr. Lecky, on a Robinsonade through a deserted department store. Feeling threatened by an unknown pursuer, he has pillaged the store's sports department to pick up a gun, and he is looking at it now.

> Forced to observe the gun he held with care – indeed with dawning anxiety – he saw on the barrel where it met the inflexible breech the engraved words "*Fabrique Nationale d'Armes de Guerre Herstal Belgique*," which was plainly no direction for opening it. To Mr Lecky these foreign words were an unpleasant discovery, suggesting a necessarily inferior weapon, and he sat still, no longer even trying to open it. He was, in fact, holding a Browning automatic twelve-gauge shotgun, complicated by magazine cutout and double extractors. For this, naturally, none of the ammunition he had laid out would serve. (Cozzens, *Castaway* 90)

A this point narrator and reader have executed transposition B to enter the text's mode of internal focalization and to witness Mr. Lecky's current online mentation. Unusually, for a predominantly figural narrative, the heterodiegetic narrator overtly steps forward to explain that while Mr. Lecky sees X (the gun) as Y, he, the narrator, sees X as Z. For Mr. Lecky the gun is nondescript; for the narrator it is a specific gun whose make and operation he can identify. In Henry James's words, he is the one seeing more where the other sees less. The narrator further informs us that Mr. Lecky does not understand the French inscription on the gun, that he makes a false inference (believing it to be an "inferior weapon"), and that he is unaware of possible consequences ("none of the ammunition … would serve"). Drastically exposing the reflector's fallibility, the narrator momentarily shifts into the mode of psycho-narration (as he has done on previous occasions and will again on subsequent ones). He even slips in a "naturally," taking the reader's agreement for granted. As a matter of fact, however, even when informed of the gun's make and operation, ordinary readers like you and me are likely to see this particular X neither as Y nor as Z, but as W, based on our own interpretive competence and mindset preferences. Many readers may indeed make better sense of the French inscription than Mr. Lecky does, but very few of us will have the detailed and, above all, relevant knowledge of guns that the narrator has. Balancing the discrepant perceptions of these three mental spaces (the reflector's, the narrator's, and our own) we can engage in the creative reasoning that is necessary for us to relate and evaluate the views of the two textual focalizers and to assess our own position vis-a-vis narrator and character. Complicated as the focalization setup is, we seem to be able to handle it without much conscious effort. At the same time our constructivist approach provides us with a set of tools that enable us to talk about it on a sophisticated level of analysis. (For similar scenarios see the Hemingway quotation in 3-51 as well as ch9.5 for a drastic case of cognitive dissonance.)

3.5.4. Levels of focalization

3-70. The most obvious point of view cues are "deictic expressions," expressions that point to a particular speaker, thinker, or perceiver ("person deixis") and his or her here-and-now ("place/time deixis") (6-05f). Pronouns and tenses also come under this rubric as do words like *here, there, now, then, yesterday, tomorrow, come, go*, etc. Consider the deictics in a sentence like "She felt sad now" (Galbraith 1995, 25). Relative to the narrator's I-here-now, "she" has the deictic import of "not I, the narrator, who is uttering this sentence," and the past tense has the deictic import of "not now as I, the narrator, am speaking." Note, however, that there is a deictic "now" in the sentence that relates to the I-here-now point of origin of the third-person reflector. Balancing these deictic pointers, we see that the narratorial deixis is largely concerned with maintaining the past-tense/third-person framework of the narrative situation, while the character's feelings are naturally aligned to her I-here-now in the story world. One could say that in this case the narrator's presence is *residual* only, subliminal even, at least as far as the reader's priorities are concerned. Many critics (including Hamburger and Stanzel) have claimed that the past tense "loses" its past meaning in this context (a good idea, actually, because it explains why in a reflector-mode text a "now" can happily co-exist with a past tense verb).

3-71. The system of narratorial and internal focalization that we postulated in 3-52 involves a hierarchical structure in which internal focalization is subordinate to, or dominated by, a level of narratorial focalization (even if the latter may only be implicit). Overall, it is tempting to say that internal focalization needs to be "embedded" in a level of narratorial focalization, just like a second-order story must be embedded in a first-order story (ch2.4). Like embedded stories, embedded focalization scenarios are often depicted in the form of "Chinese box" diagrams (Nünning 2001, Dancygier 2012). As Ryan (1991, 180-81) has argued, Chinese boxes, while instructive as final-product models, are not very specific about the mechanics and effects of shifts that occur when moving from one level to another. Procedural aspects, Ryan argues, are better

captured by a dynamic structure known as a "stack" in computer science. The concept comes with a bit of AI jargon, which is quickly established. The particular type of stack most relevant for embedding scenarios is one called a "LIFO" (last-in, first-out) stack. Almost as in everyday reality, a stack is either empty or contains any number of elements. Only one element, the one on top of the stack, is visible at any one point, representing the current plane or level of story or focalization, say a third-order narrative, or a reflector's dream. Shifts are triggered by either of two operations: a new level or plane is created and becomes visible by "pushing" it on top of the stack, and an old (prior) plane becomes accessible by "popping" other elements off the stack until it becomes the topmost and current one.

Simple as the design of stacks is, its explanatory power lies in its clever combination of structure and process. Many of the so-called "deictic shift theorists," most notably Galbraith (1995), have suggested that if we are dealing with the reader's task of negotiating the leveled structure of a narrative text then we are constructing an "ontological" LIFO stack, or as we shall take the liberty of saying here, a stack of focalizations. Typical elements successively pushed onto a stack of focalizations include (a) a ground level of narratorial online perception, (b) the narrator's view of the story world, (c) a character's online perception, and (d) a character's offline perception (recollection, vision, or dream). If narrator, reader, or character return to a prior level of the stack, a pop discards the top-level element. Once we come to the end of the story, a final pop (or series of pops) clears away the fiction's stack. Closing the book, the reader returns to his or her own online perception.

3-72. Rejecting Bal's notion of embedded focalizations, Genette remarks, "I do not believe the *focus* of the narrative can be at two points *simultaneously*" (1988, 76, his italics). Translated into stack terminology, Genette's statement amounts to saying that only the element on top of a stack is visible at any one point (which is what we also postulated above). We focus on – we only see – what's on top of the stack. This goes some way toward explaining our readiness to execute the Bühler transposition, to jump from discourse to story and from story into the mind of a reflector. The fact that an element can be popped off the stack so that the one underneath it becomes the new current one is plainly analogous to the process of returning from an imaginary location to an online setting. However, as we have noted in our discussion of the sentence "She felt sad now," texts may retain certain residual pointers to one or more prior orientations. The stack of focalizations may be semi-transparent in similar fashion, allowing us to be aware of more than one level and to choose between competing points of view without losing sight of the overall complex structure. Let us take a look at three sample passages to see these options in action,

3-73. First, reconsider the very common borderline case of authorial-figural narration quoted in 3-20.

> According to the Buddhist belief, those who have done evil in their lives will spend the next incarnation in the shape of a rat, a frog or some other low animal. U Po Kyin was a good Buddhist and intended to provide against this danger. He would devote his closing years to good works, which would pile up enough merit to outweigh the rest of his life. Probably his good works would take the form of building pagodas. Four pagodas, five, six, seven – the priests would tell him how many – with carved stonework, gilt umbrellas, and little bells that tinkled in the wind, every tinkle a prayer. And he would return to the earth in male human shape – for a woman ranks at about the same level as a rat or a frog – or at best some dignified beast such as an elephant.
>
> All these thoughts flowed through U Po Kyin's mind swiftly and for the most part in pictures. His brain, though cunning, was quite barbaric, and it never worked except for some definite end; mere meditation was beyond him. (Orwell, *Burmese Days*)

The passage proceeds from telling us something about Buddhism in general to presenting a "good" Buddhist's mind in action. It is done in such a manner that we are momentarily transported into U Po Kyin's head in order to witness the reflector's thoughts and perceptions directly. Still, the authorial narrator plainly uses the reflector as a medium to present a mindset and a world view that is largely unfamiliar to the reader, and the brief parading of the reflector's mentation serves both characterization and narrative exposition in so far as it introduces the character who will be cast in the role of the main character's antagonist. The different mindsets that are at work here – the narrator's and the character's – can be distinguished as separate but interrelated mental

spaces. Above all, we can see that "a good Buddhist" means different things to narrator and character.

3-74. Next, consider the "dual" focalization in the following first-person childhood recollection passage from Dickens's *David Copperfield* (1849-50):

> And now I see the outside of our house, with the latticed bedroom-windows standing open to let in the sweet-smelling air, and the ragged old rooks'-nests still dangling in the elm-trees at the bottom of the front garden. Now I am in the garden at the back, beyond the yard where the empty pigeon-house and dog-kennel are – a very preserve of butterflies, as I remember it, with a high fence, and a gate and padlock; where the fruit clusters on the trees, riper and richer than fruit has ever been since, in any other garden, and where my mother gathers some in a basket, while I stand by, bolting furtive gooseberries, and trying to look unmoved. A great wind rises, and the summer is gone in a moment. We are playing in the winter twilight, dancing about the parlour. When my mother is out of breath and rests herself in an elbow-chair, I watch her winding her bright curls round her fingers, and straitening her waist, and nobody knows better than I do that she likes to look so well, and is proud of being so pretty. That is among my very earliest impressions.

As is commonplace and typical, the homodiegetic narrator's recollection is selective and mobile. The first sentence's "now" is the narrator's current discourse-now, but his imaginary vantage point already moves to a distant point in time, *also* identified as "now." Only the narrator himself (the narrating-I) can pass the judgment that the fruit his mother is gathering in the remembered scene is "riper and richer than fruit has ever been since, in any other garden." Looking at (and into the mind of) his younger self, the narrator notices that the child is "trying to look unmoved." Then, as only offline perception can manage it, time is made to pass in a rush, the narrator imaginatively leaping from the garden in summer to the parlor in winter. The same two characters are present but now his mother is in full focus, winding her "bright curls" and looking "so pretty." Watching, narrator and reader co-experience the child's emotion. However, even as the narrator adopts the child's perception, his view is already qualified by the knowledge of a past irretrievably gone.

3-75. For a slightly different execution of the theme of childhood recollection consider the following excerpt from Paul Auster's *Report From the Interior* (2013). Interestingly, it is cast in the form of a local you-narrative (3-19).

> In the beginning, everything was alive. The smallest objects were endowed with beating hearts, and even the clouds had names. Scissors could walk, telephones and teapots were first cousins, eyes and eyeglasses were brothers. The face of the clock was a human face, each pea in your bowl had a different personality, and the grille on the front of your parents" car was a grinning mouth with many teeth. Pens were airships. Coins were flying saucers. The branches of trees were arms. Stones could think, and God was everywhere. There was no problem in believing that the man in the moon was an actual man. You could see his face looking down at you from the night sky, and without question it was the face of a man. Little matter that this man had no body – he was still a man as far as you were concerned, and the possibility that there might be a contradiction in all this never once entered your thoughts. At the same time, it seemed perfectly credible that a cow could jump over the moon. And that a dish could run away with a spoon.
>
> Your earliest thoughts, remnants of how you lived inside yourself as a small boy. You can remember only some of it, isolated bits and pieces, brief flashes of recognition that surge up in you unexpectedly at random moments – brought on by the smell of something, or the touch of something, or the way the light falls on something in the here and now of adulthood. At least you think you can remember, you believe you remember, but perhaps you are not remembering at all, or remembering only a later remembrance of what you think you thought in that distant time which is all but lost to you now.

The passage begins by presenting a series of "childish" perceptions. Even though these are not precisely oriented in time and space, the first paragraph still invites us to co-experience the child-

reflector's "animism." In other words, following the Pavlovian reflex of transposition we may read the first paragraph in the mode of internal focalization. Yet on the levels of style, conceptualization, and narrative mode (summary) we remain aware of the narrator's enveloping orientation and mindset. In fact, when the reflector layer pops off in the second paragraph the narrator relocates to the here and now of adulthood in order to freely articulate his clear-sighted analysis.

3.5.5. Summary and checklist

3-76. To summarize, here is a checklist of research questions.

1. **In what tradition of focalization techniques does the text stand**? Is it contemporaneous with the modernist styles of literary impressionism (James/Joyce/Woolf/Mansfield) or does it predate or postdate it? Does the presentation of inside and outside views deviate from contemporary practice or norms? Is it innovative or regressive (reviving an earlier style)?

2. **How does the narrator fill his/her role as primary focalizer**? Are there specific locations, such as chapter beginnings or endings privileging the narrator's point of view? Which kinds of online perceptions and comments does the narrator engage in? Which kinds of offline perception (imaginary perception, recollection, etc)? Does the narrator keep a low or high profile, is s/he covert or overt? When, if at all, is the narrator likely to intrude into passages of internal focalization? Does s/he prefer to use psycho-narration over interior focalization? Does s/he make use of a psycho-camera and who does s/he point it at?

3. **Which characters are used as internal focalizers and which are not?** Does the narrator present groups of characters as social minds (plural/collective focalizers)?

4. **How transparent are the mindsets of the focalizers?** Is it easy or hard for the reader to infer or deduce them? How explicit or implicit are the pointers to mindset dispositions? What and how much is left to the reader's gap filling or speculation? Are the mindsets static or do they develop over the course of the story, or (for the narrator) the telling of the text?

5. **Which filtering devices do we encounter**? To what extent is the text concerned with "equipment filtering" (organic or artificial – eg sense of smell in Süskind's *Perfume* or the psychoscope in Le Guin's "The Compass Rose"). To what extent is it concerned with "mindset filtering" (usually all of the time, of course), possibly a combination of both?

6. **How coarse or how fine is the focalizers' mentation**? Do they have any perceptual weaknesses? Cognitive weaknesses? Are perceptual/cognitive achievements or failures significant topics of story and plot? How plausible are the focalizers' thoughts, how attractive or challenging are their imaginary perceptions? In their views of the world out there, are they "fallible filters" (Chatman), or are their misconceptions understandable, pardonable, defensible, "ecologically" viable? Are they experts in one area but ignorant in another? How does the text handle specialist knowledge? Does it help the reader to understand the expert bits by offering narratorial exposition, comment, notes, credits, hypertext links, a glossary, a list of references?

7. **How rich or sparse, how detailed or superficial is the text's representation of mentation**? What is the proportion of online to offline perception? Does the text move towards central moments of online focalization or offline focalization? Does the text ever obscure the status of online vs offline perception? To what effect? Is the level of detail of the presentation constant or variable? Is it correlated to subject matter? How much does the text expect or require the reader to contribute? When filling the gaps, is the reader ever led astray or garden-pathed (Jahn 1999)? If so, does it happen locally or over extended periods? Is there a learning effect?

8. **Which stylistic means** are used to represent different types of mentation? Specifically, to what extent does the text employ "interior monologue," "free indirect discourse," and "narrated perception" in order to present information or achieve special effects (ch8)? How liberally or sparingly does it use explicit tags such as *he saw, he thought* etc)? Using Nelles's terms, in what proportion does the text present and perhaps prioritize ocularization (vision), auricularization (audition), gustativization (taste), olfactivization (smell), and tactivilization (touch)? Add to this the more extended range of perceptive faculties that modern biology has become aware of.

9. **What is the role of congruent (consonant) and discrepant (dissonant) perceptions**? Do they involve the level of character vs character or narrator vs character(s)? Are they ever alluded to or even discussed explicitly? Which topics or subjects do they concern? Are the conflicts ever resolved? Can the reader negotiate the different perspectives by separating them out as mental spaces ("A sees X as Y, whereas B sees X as Z")? Does the reader happen to see X as W? If the narrator's and the reflector's perceptions do not markedly differ, what are the reasons – narrator restricting him- or herself to what is "public knowledge" in the story world? narrator remaining neutral or non-committal? narrator allowing (intentionally/unintentionally) his or her concepts to become "colored" by the character's concepts?

10. **Can one refine any of these questions by paying attention to the specific conditions of first-person/homodiegetic and third-person/heterodiegetic narration**? What special characteristics can be attributed to first-person vs third-person internal focalizers or to homodiegetic vs heterodiegetic narrator-focalizers?

3.6. Stanzel's typological circle

3-77. The typological circle is the core element of Stanzel's 1979 *Theory of Narrative* and it attracted the attention of many leading theorists of the day. Cohn (1981) offered both appreciation and critique in an extensive review article. Stanzel partly accepted and partly rejected Cohn's points but was prepared to insert local corrections in subsequent editions of the *Theory* (currently the eighth and counting). Genette (1988 [1983], ch17) largely agreed with Cohn's assessment but ultimately preferred his own charting of narrative situations. In another review, Chatman (1987) questioned the usefulness and viability of the circle. Surveying all the comments in 1990, Stanzel again defended the design, stressing its interpretive power. In the following, I will reproduce Stanzel's diagram as well as Cohn's and Genette's versions, and I will also take another look at the rotionale and the methodology of the model.

3-78. The typological circle pursues the ambitious project of allocating narrative texts a unique location in the universe of narrative. It is based on the interrelationship of three features called Mode, Person, and Perspective. Each of the features is characterized by two opposite "poles" that are linked by a "continuum" of intermediate forms (Stanzel 1984, 50f). The poles of Mode are "narrator" and "reflector," Person extends from "first" to "third," and Perspective goes from "external" to "internal." The typological circle itself is a master continuum – "a uniquely compelling schema for unifying the variety of narrative discourse," Cohn says (1981, 181). Here it is, reproduced from the English translation of 1984.

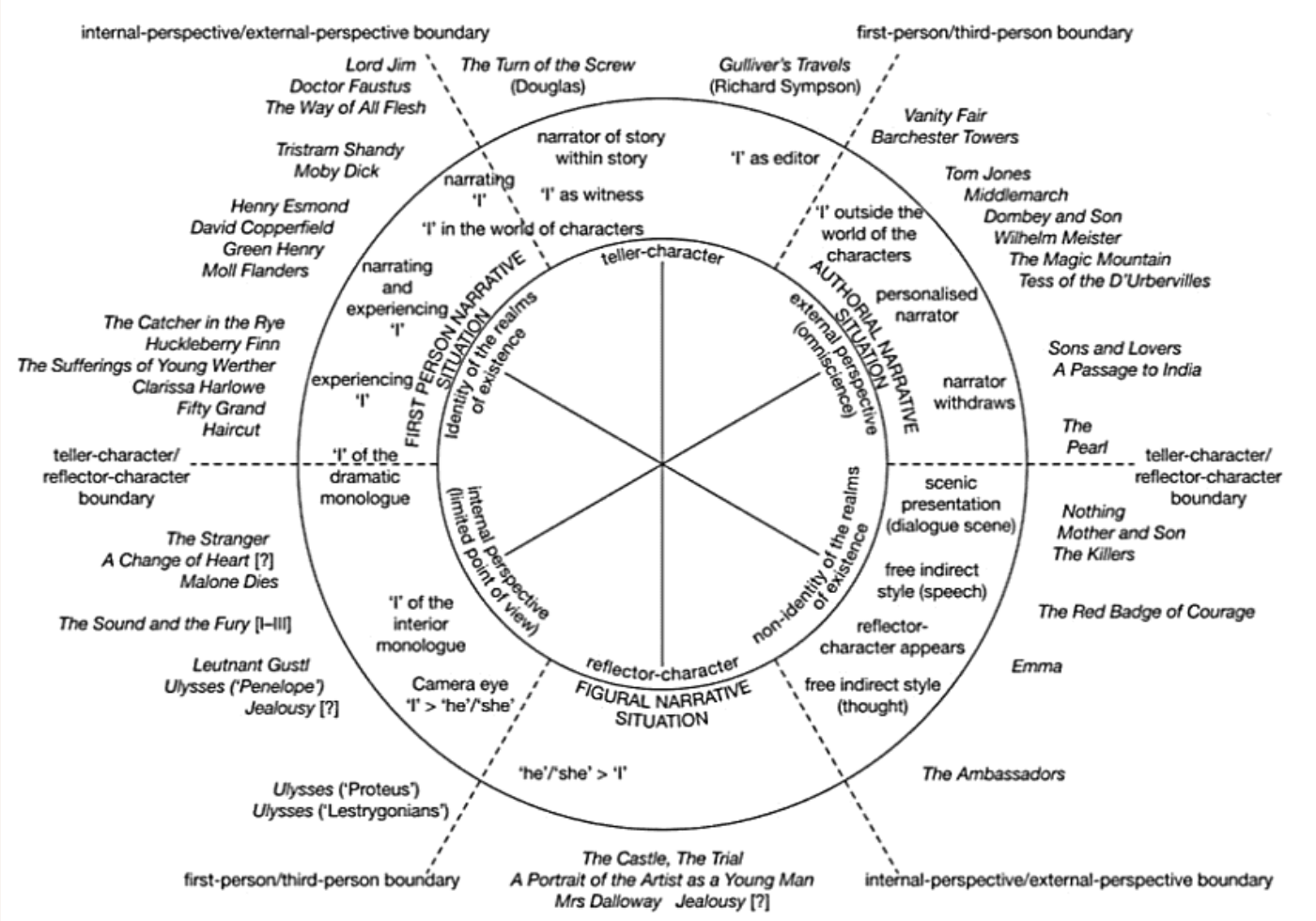

Fig. 3.6.1. The typological circle (Stanzel 1984: xvi).

3-79. On the circumference of the circle we see an ordered arrangement of texts, mainly novels, but also a few short stories and the occasionally chapter. The three pairs of opposite poles and their continua appear as "axes" radiating from the center. Three more axial lines dissect the circle to create "boundaries" separating first-person and third-person texts, narrator-dominated vs reflector-dominated texts, and internally vs externally perspectivized texts. The three boundaries

cut the circle into six sections: three of them are the standard narrative situations, each buffered by an unnamed intermediary section. Prevalent styles, techniques, and text types (eg "free indirect style" at 5 o'clock, "interior monologue" at 8 o'clock, and "I as witness" at 11:30) are added in appropriate places.

3-80. Dorrit Cohn begins her review by listing the positives: "the practical advantages of his scheme are apparent at first glance: his circular array of narrative forms can at the same time inscribe related types contiguously (as family trees cannot), work with multiple variables (as linear ranges cannot), and gradate oppositions (as boxed quadripolar schemas cannot)" (1981, 161). She then presents this simplified copy.

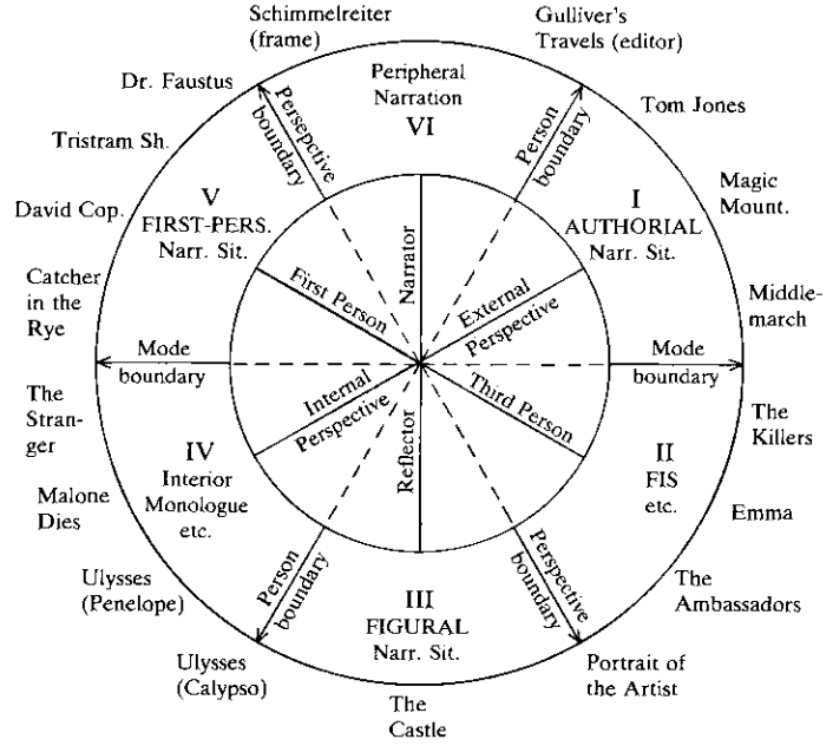

Fig. 3.6.2. Cohn (1981, 162).

In this version, the number of titles is reduced to just eighteen, which helps declutter the original's abundance of information. The six slices of the pie are numbered I to VI, with the odd numbers representing the standard situations, and the even numbers referring to the intermediary situations (now additionally tagged after a prevalent style, text type, or technique). One minor (possibly inadvertent) discrepancy is the placement of Joyce's *Portrait of the Artist*, which (being the paradigm figural text that it is), should appear in the same position as *The Castle* (cp the locations of the two novels in Stanzel's original).[12] Also note that while the Mode, Person, and Perspective axes are labelled correctly they do not name the polar extremes, which are of crucial importance in Stanzel's system.

3-81. In her detailed comments, Cohn suggests a number of possible improvements. Specifically, she argues that "Stanzel's perspectival opposition (External/Internal) corresponds so closely to his modal opposition (Narrator/Reflector) that this categorical separation is not fully justified" (1981, 160). She also disagrees with Stanzel's handling of "quoted" and "autonomous" interior monologues (a distinction introduced by herself (1978, 255-65)). In Stanzel's view, embedded (quoted) interior monologues are ambivalent segments and thus predestined to occur on both sides of the Person boundary. In Cohn's view, a quoted monologue simply inherits the Person status of its framing context (1981, 168). Autonomous monologues like "Penelope," on the other

[12] The "Calypso" chapter of *Ulysses* (in the 7 o'clock position) was present in Stanzel's first (1979) version of the circle; after discussing Cohn's argument on interior monologues (see below) he replaced it by "Lestrygonians" and "Proteus," though Cohn would probably object to these nominations as well (see discussion and note below).

hand, are "*non*-narrative" forms that she thinks should not be listed at all (1981, 169).[13] Eventually, Cohn proposes the following amended circle.

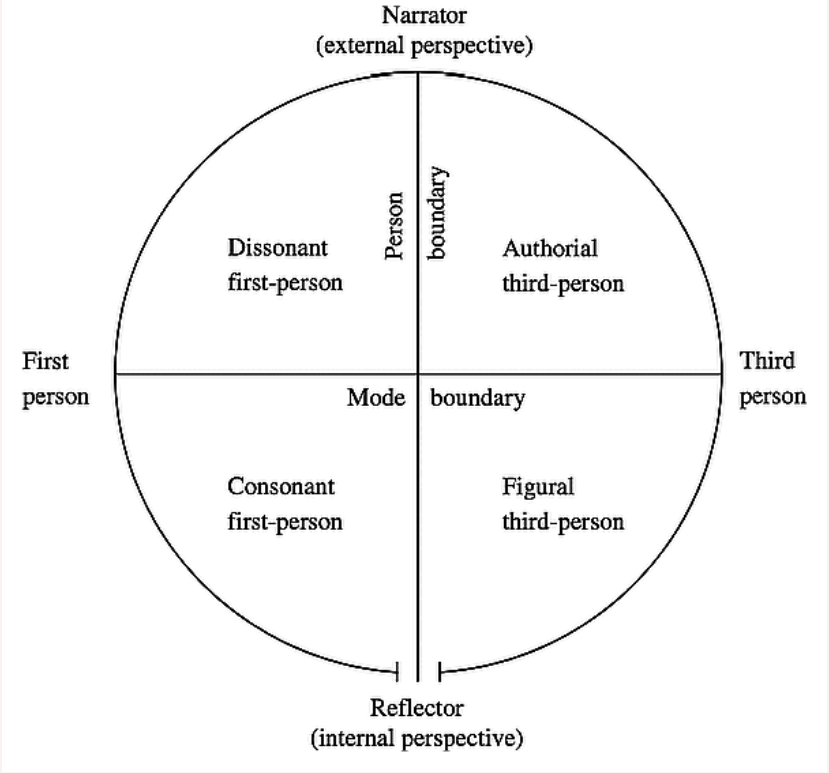

Fig. 3.6.3. Cohn (1981, 179).

With Perspective now being subsumed under Mode just two continua and two boundaries remain, the latter cutting the circle into four slices. Not represented explicitly are the Mode and Person axes, but these can still be inferred from the locations of the named poles. All intermediary sectors are gone, and the two narrative situations on the left are identified as "consonant" and "dissonant first-person" respectively (based on the variable relationship between narrating-I and experiencing-I). The main modification on the circumference is the insertion of the "roadblock" (1981, 161) between the figural sector and the consonant first-person sector, following Cohn's argument on the contextually determinate Person status of quoted monologues.

3-82. As expected, Genette (1988, ch17) prefers the sharp categories of his own very successful system over the inherent fuzziness of Stanzel's gradable continua. As a firm believer in the "combinatorial principle" (1988, 129), he offers several alternate typologies using different sets of parameters. Crosstabulation usually works best with two major categories only, but Genette in his final typology considers Relation, Focalization as well as "Level," which means that the resulting table splits into two halves, one covering first-order ("extradiegetic") narratives and the other second-order ("intradiegetic") narratives (2-21).

[13] According to Cohn (1981, 169), "the autonomous monologue breaks with narrative tradition because it is essentially a *non*-narrative form, i.e., one in which narrative elements are reduced to zero." "Penelope" in *Ulysses* is an autonomous interior monologue, which is neither a first-person nor a third-person narrative. If it came with a quotational frame like "On Thursday, 16 June 1904, after my husband came home, my thoughts were as follows …" it would occur in a first-person context. Alternatively, if the quotational frame started with the words "After her husband got home, Mrs Molly Bloom thought:" the context would be (and remain) a third-person one.

Level → / Relation ↓	Extradiegetic			Intradiegetic		
Focalization →	0	Internal	External	0	Internal	External
Heterodiegetic	*Tom Jones*	*A Portrait of the Artist*	*The Killers*	*Le Curieux impertinent*	*L'Ambitieux par amour*	
Homodiegetic	*Gil Blas*	*Hunger*	*The Outsider?*		*Manon Lescaut*	

Fig. 3.6.4. Genette (1988, 128).

While the addition of Levels seems a little peculiar at first sight, the duplicate categories produce three unexpected "empty boxes" (Genette 1988, 121) on the intradiegetic half of the table, inviting narratologists (possibly authors, too) to find or invent appropriate texts, or explain why these are rare or might even be impossible. However, as is obvious, the universe of narrative forms displayed here extends over just a few types, and while the design is successful in using contrastive features for emphasizing differences, it is poor in working out varying degrees of resemblance.

3-83. Returning to Stanzel's design, let us take another look at the rationale of its underlying continua, an aspect often ignored by commentators. Consider the simplified version below, which moves the three axes outside the circle and renders them as infinitely gradable metric scales (ie continua in the strict sense), each ranging from 0 to 1.

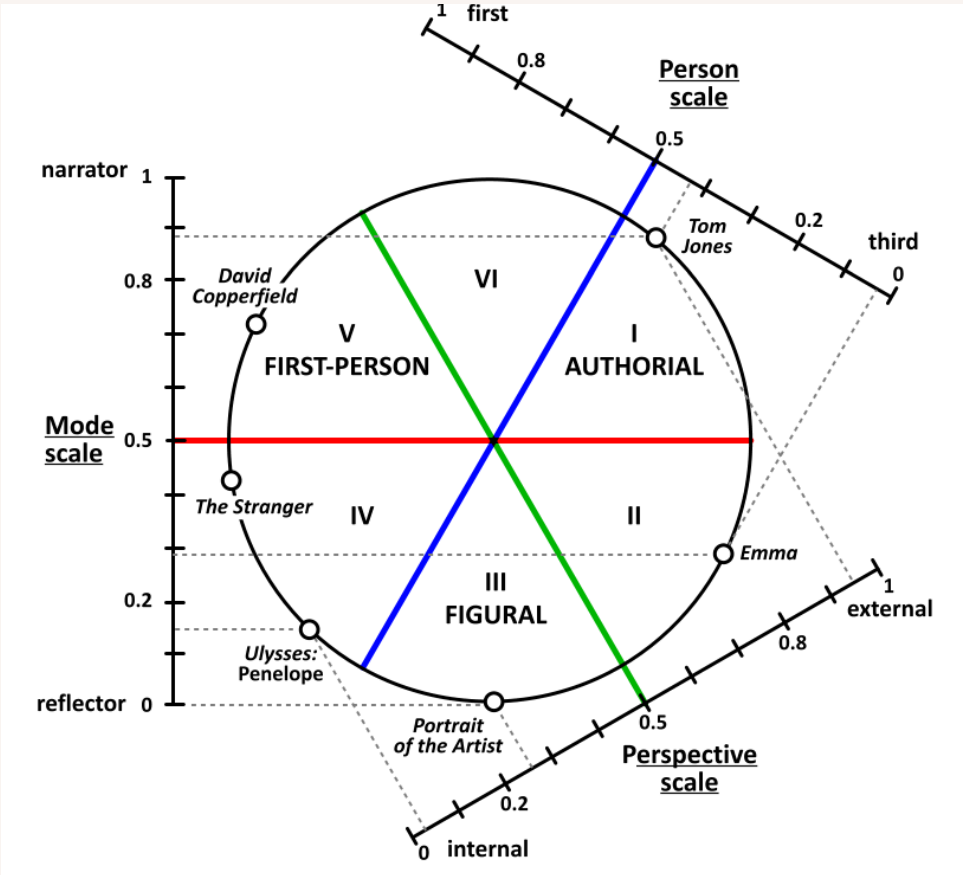

Fig. 3.6.5. Jahn (1995, 39) (edited).

3-84. Extending the midpoints at their 0.5 marks creates the boundaries that divide the circle into three halves and six sections numbered as in Cohn's version. The red (horizontal) line marks the boundary between narrator-dominated texts (top) and reflector-dominated texts (bottom); the green diagonal sets off internally perspectivized texts (left) from externally perspectivized ones (right); and the blue diagonal has the first-person texts on the left and the third-person texts on

the right. Six of the original texts are listed for illustration. *Tom Jones*, for example, scores a value of approximately 0.88 on the Mode scale, 0.43 on the Person scale, and 0.95 on the Perspective scale – or, putting it in plain words, it is a third-person text with a high degree of overtness and a still higher degree of external perspectivization (almost amounting to the polar quality of "aperspectivism" (Stanzel 1984, ch5.3). The profiles of the other texts can be read off in similar fashion, and generally the ordering of the texts seems plausible. But there is a catch: if one reverses the process and begins by determining the values independently then the synthesis no longer works smoothly. For instance, a theoretical profile of 0.5/0.5/0.5 would touch the circle in six different places and triangulate right in the middle of it. In fact, such oddities are certain to be the rule rather than the exception, and the issue cannot be resolved by averaging the values or by factoring in a hazy notion of "dominance" (Stanzel 1984, 55). The plain fact is that three independent variables call for a "three-dimensional or solid model," as Cohn (1981, 159) and Chatman (1987, 163) rightly point out.

3-85. Further questions arise when we take a closer look at some of the individual gradings of the paradigm texts listed. Take *Tom Jones*'s Person grade of approximately 0.43: not only is it difficult to make any sense of it at all (except maybe that it puts the text unreasonably close to the first-person boundary), it is harder still to see why it should be any less third-person than *Emma*, whose value is perilously close to the polar extreme of 0.0. One also notes that "Penelope" at Mode 0.15 is apparently less reflector-oriented than *Portrait,* while at the same time its Perspective score is almost maximally internal, against the *Portrait*'s 0.25.[14] Overall, such gradings seem almost arbitrary even when discounting the wholly illusory precision of the decimal numbers used here. Stanzel's values also do not add up when we consider what most theorists (including Stanzel) agree on, namely that narrative texts are complex structures, composed of heterogenous "segments" of different lengths (Genette 1988, 127). Nobody really knows how to sum up such segments or average them out to come up with a unique point in narrative space – supposing there is such a point (a "cloud" of points might be a possibility though).

3-86. In his final remark on typologies, his own included, Genette iterates his belief in what he calls the "combinatorial principle":

> For me, what is important . . . is not this or that actual combination but the combinatorial principle itself, whose chief merit is to place the various categories in an open relationship with no a priori constraints: neither unilateral *determination* in the Hjelmslevian sense ("such a choice of voice entails such a course of mode," etc.) nor *interdependence* ("such a choice of voice and such a choice of mode reciprocally govern each other") (Genette 1988, 129).

The argument is a compelling one, but it does run the risk of throwing the baby out with the water. Anyone wishing to theorize not only the structural but also the cognitive dimensions of narrative must investigate the communicative processes, the schemas, frames, defaults, typicalities, and preference systems of writing and reading. This cannot be done by looking at isolated and clear-cut categories and relationships only. We need to be able to deal with fuzzy yet gradable phenomena, we need to address relations and interdependencies, arduous and error-prone as the task may be. And why should it not be possible to do the one thing as well as the other? At any rate, this is what this Guide has been practicing from the get-go.

4. Action, story, tellability

4-01. Because "action" is a more or less self-explanatory term I will only offer the following rather simplistic definition:

- ***action*** A sequence of events, mainly a sequence of acts executed by characters, also the sum of events constituting a story line.
- ***narreme*** A single unit (generally a small segment) of the story line (Dorfman 1969).

Events in the "primary story line" are often kept distinct from events that take place before the beginning or after the end of the primary story line – its ***pre-history*** and ***after-history***. According

[14] Genette (1980, 193) argues that "[i]nternal focalization is fully realized only in the narrative of 'interior monologue'." Picking out a passage from the *Portrait*, Stanzel (1984, 58) finds that it exhibits an "external instead of internal perspective." Conflicting assessments such as these cast some doubt on the positioning of texts like "Penelope" and *Portrait*.

to Sternberg (1993 [1978], 49-50), the primary story line begins with the first scenically and singulatively presented event (5-09, 5-11), usually, the first dialogue (Rimmon-Kenan 1983, 61-63).

> When my first pay-night came I called for her and asked: "What about a walk up Snakey Wood?" (Sillitoe, "The Fishing-Boat Picture" 135)

4-02. What should count as a ***minimal narrative***? If one permits the limit case of *one* event then "the quick brown fox jumped over the lazy cow" can count as an example, as do "the king died," "Pierre has come," and "I walk" (Genette 1983, 18-20). Another example used by Genette, "Marcel becomes a writer," wittily condenses Proust's 2000-page novel *A la recherche du temps perdu* into a single narrative sentence. ***Story tropes*** like "Enemies to Lovers" are well-known story catalysts as are ***proverbs*** such as "You reap what you sow." Some more examples:

> Joan ate an egg and Peter drank a glass of milk, then they went to the theater. (Prince 1982, 76)
>
> The king died and then the queen died of grief. (Forster)
>
> Jack and Jill / Went up the hill / To fetch a pail of water; Jack fell down / And broke his crown, / And Jill came tumbling after.

Prince's example lists a bare sequence of action units; Forster's example illustrates the principle of causal connectivity between story units (see "plot" in 4-07); and the third example is a nursery rhyme that lends itself to being enacted by gesture and physical contact. See also Culler (1975b [on narrative units]); Branigan (1992, 11-12; 222n29); Chatman (1978, 30-31; 45-48); Schmid (2010, 13-15) [change of state theory]. Propp (1969) is the first famous structuralist account of functional story units (in the Russian folktale).

4-03. Not all of the foregoing examples can boast of a high degree of ***tellability*** (Labov 1972; Prince 2008; Ryan 1991, ch8). Typically, a story is required to have a point, to teach a lesson, to present an interesting experience (a high degree of "experientiality," as Fludernik 1996 calls it, promoting this element to the key property of all narrative texts), and to arrange its episodes in an interesting progression. Summarizing his conception of narrative goals, Branigan says:

> I wish to examine how we come to know that something is a narrative and how a narrative is able to make intelligible our experiences and feelings. I will argue that it is more than a way of classifying texts: *narrative is a perceptual activity that organizes data into a special pattern which represents and explains experience*. (Branigan 1992, 3)

Jerome Bruner, too, considers tellability and experientiality as an essence of narrative:

> [Narrative] deals in human or human-like intention and action and the vicissitudes and consequences that mark their course. It strives to put its timeless miracles into the particulars of experience, and to locate the experience in time and place. [...] [S]tory must construct two landscapes simultaneously. One is the landscape of action, where the constituents are ... agent, intention or goal, situation, instrument [...]. The other landscape is the landscape of consciousness: what those involved in the action know, think, or feel, or do not know, think or feel. [...] Indeed, it is an invention of modern novelists and playwrights to create a world made up entirely of the psychic realities of the protagonists, leaving knowledge of the "real" world in the realm of the implicit. (1986, 13-14)

4-04. For an attempt to relate universal story patterns to two prototypical narrative genres – romantic tragi-comedy and heroic tragi-comedy – see Hogan (2003). S.I. Hayakawa relates tellability to offering the potential of identification and empathy. Hayakawa distinguishes identification by self-recognition and identification for wish-fulfillment:

> There are two kinds of identification which a reader may make with characters in a story. First, he may recognize in the story-character a more or less realistic representation of himself. (For example, the story-character is shown misunderstood by his parents, while the reader, because of the vividness of the narrative, recognizes his own experiences in those of the story-character.) Secondly, the reader may find, by identifying himself with the story-character, the fulfillment of his own desires. (For example, the reader may be poor, not very handsome, and not popular with girls, but he may find symbolic satisfaction in identifying himself with a story-character who is represented as rich, handsome, and madly sought after by hundreds of beautiful women.) It is not easy to draw hard-and-

> fast lines between these two kinds of identification, but basically the former kind (which we may call "identification by self-recognition") rests upon the *similarity* of the reader's experiences with those of the story-character, while the latter kind ("identification for wish-fulfillment") rests upon the *dissimilarity* between the reader's dull life and the story-character's interesting life. Many (perhaps most) stories engage (or seek to engage) the reader's identification by *both* means. (Hayakawa 1964, 141)

For a more recent approach to empathy and identification see Keen (2007).

4-05. Action units usually group into episodes:

- ***episode*** A group of action units consisting of three parts: an exposition, a complication, and a resolution (Kintsch 1976). Hence a story can be described both as a sequence of action units (as above) and as a sequence of episodes.

This definition of episodes nicely dovetails with two graphic models of narrative trajectories that have become famous: Freytag's 1863 (!) "triangle" and Bremond's 1970 "four-phase cycle." Freytag's triangle originally describes the action and suspense structure of classical five-act tragedy; Bremond's model originally aims at the system of possible state changes in French folk tales. Obviously, however, both models have a far more general relevance.

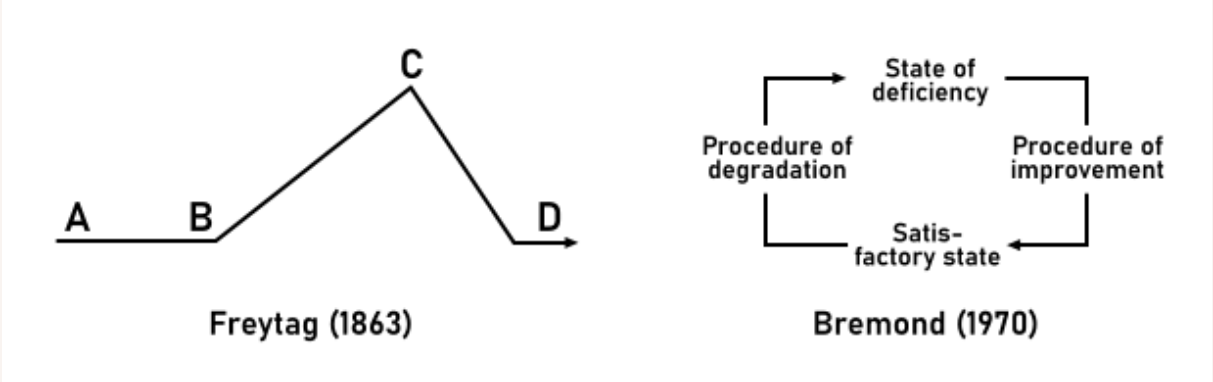

Fig. 13. Freytag's triangle and Bremond's cycle.

Regarding his corpus of fairy tales, Bremond notes that "the cycle starts from a state of deficiency or a satisfactory state" and "ends usually with the establishment of a satisfactory state" (1970, 251), conforming to the "lived happily ever after" pattern. For a more detailed account of Freytag's model you may want to look up Jahn (2021a, 7.5); for the present, however, Barth's explication is quite sufficient:

> *AB* represents the exposition, *B* the introduction of conflict, *BC* the "rising action," complication, or development of the conflict, *C* the climax, or turn of the action, *CD* the denouement, or resolution of the conflict. While there is no reason to regard this pattern as an absolute necessity, like many other conventions it became conventional because great numbers of people over many years learned by trial and error that it was effective. (Barth 1968, 99)

4-06. Various attempts have been made to devise ***story grammars*** along the lines of Chomskyan generative grammar. Some of these grammars are still used or referred to today, especially in the context of folklore studies, empirical analysis (Stein 1982), cognitive studies and Artificial Intelligence (Ryan 1991). See also van Dijk (1972), Prince (1973), Rumelhart (1975), Mandler and Johnson (1977), Pavel (1985).

Exercise. Using the definition of "episode" listed above as well as Bremond's and Freytag's models of narrative progress, show that the following story outlines are likely to produce a relatively high degree of tellability.

- Boy meets girl. Boy loses girl. Boy gets girl. ***[Benson's law of romantic comedy, see D7.9)]***
- A community is threatened by a dragon. A youthful hero rides out to find it. He meets the dragon in a forest and kills it. Returning home, he is richly rewarded. ***[The action frame of***

the dragon-slayer myth; for a fully realized version see Lewis Carroll's poem "Jabberwocky".]

- A young woman lives in stifling domestic circumstances. She falls in love with a sailor who promises her a new life in a far-away country. But, torn between love to her friend and duty to her family, she is unable to escape. ***[A synopsis of Joyce's "Eveline".]***
- "After the 4077th supply of hydrocortisone is hijacked by black marketeers, Hawkeye and Trapper concoct a deal with a local black marketeer (Jack Soo) to get some more. The catch: Henry's antique oak desk, which is whisked away by chopper as Henry watches in disbelief." ***[Unedited summary of M*A*S*H episode 2, "To Market, To Market," broadcast September 24, 1972; quoted from http://www.faqs.org/faqs/tv/mash/guide/ . Note the type and amount of background information that needs to be supplied here to make this comprehensible to the uninitiated.]***

4-07. The terms "story" and "plot" were originally introduced in E.M. Forster's *Aspects of the Novel* (1976 [1927]). Ideally, one should distinguish *three* action-related aspects: (i) the sequence of events as ordered in the discourse; (ii) the action as it happened in its actual chronological sequence (= story); and (iii) the story's causal structure (= plot).

- ***story*** The chronological sequence of events happening in the story world.

Story analysis examines the chronological scale and coherence of the action sequence. The basic question concerning story structure is "What happens next?" (Forster's example: "The king died, and then the queen died"). But note that a narrative's discourse does not have to present the story in purely chronological fashion: a narrative may easily begin with action unit M, execute a flashback to G, jump forward to P, etc. (See flashforwards, flashbacks, anachrony in 5-05).

- ***plot*** The logical and causal structure of a story.

The basic question concerning plot structure is "Why does this happen?" (Forster's example: "The king died, and then the queen died of grief"). Texts can have widely differing degrees of plot connectivity: some are tightly and linearly plotted (typically, every action unit is the causal consequence of something that happened before – the characters want to fulfill dreams, go on a quest, realize plans, overcome problems, pass tests etc); others make use of "mosaic plots" (Scanlan 1988, ch7) whose causal coherence is not immediately obvious; others again are loosely plotted, episodic, driven by chance or accident, and possibly avoid plotting altogether. To illustrate, fairy tales are usually linearly and tightly plotted following the pattern *A does X because B has done (or is) Y*. The Queen is jealous *because* Snow-White has become more beautiful than she is. *So* she orders a huntsman to kill her. But the huntsman does not do it *because* he takes pity on Snow-White (*because* she's so beautiful) . . . etc. For a tightly-knit operatic plot see 9.3. Forster (1976 [1927]); Bremond (1970); Rimmon-Kenan (1983, ch1); Pavel (1985a); Ryan (1991); Gutenberg (2000).

4-08. General summaries or synopses normally present a plot-oriented content paraphrase. For a detailed story analysis, one usually works out a story's time line so that all main events can be situated in proper sequence and extension. Generally, a time-line model is a good point of departure for surveying themes and action units; it also helps visualize events that are presented in scenic detail as opposed to events that are merely reported in, eg, a narrator's exposition. A time-line model can also show up significant discrepancies between story time and discourse time (5-06). See Pfister (1977/1988, chs 6, 7.4.3); Genette (1980, ch1-3).

Here is a time-line and action-unit table of Sillitoe's "The Fishing Boat Picture." For a more detailed analysis using this model see ch9.1.

Story	Unit	Textual detail
prehistory	A	various references to Harry's youth
primary story line	B	Harry's and Kathy's walk up Snakey Wood, Harry aged 24, Kathy 30
	C	married life (six years)
	D	book-burning incident; Kathy leaves Harry (Harry aged 30)
	E	10 years pass; very few references to Harry's single life
	F	Kathy comes back for occasional meetings; picture is pawned several times
	G	Kathy is run over by a lorry; Kathy's funeral
after-history	H	life after Kathy's death (six years)
discourse-now		1951: "Why had I lived, I wonder"

Fig. 14. Action units in "The Fishing Boat Picture"

4-09. Beginnings and endings.

- ***incipit*** The opening passage of a text. Stanzel (1981; 1984, ch6.3), Bonheim (1982, ch6), and ch1.2 here).
- ***point of attack*** The event chosen to begin the primary action line. There are three main options: (1) a story beginning ***ab ovo*** typically begins with the birth of the protagonist and a state of equilibrium or non-conflict; (2) for a beginning ***in medias res***, the point of attack is set close to the climax of the action; (3) for a beginning ***in ultimas res***, the point of attack occurs after the climax and near the end. Modern short stories typically begin in medias res. (Schwarze 1989, 160 [on Latin terms])
- ***closure*** The type of conclusion that ends a text. Formally, narratives often conclude with an epilogue or a scene (usually, a final dialogue). In traditional, plot-oriented texts, the main conflict is usually resolved by marriage, death, or some other aesthetically or morally satisfactory outcome producing a state of equilibrium. Many modern texts, however, lack closure; they may be open-ended (Weldon, "Weekend"), simply stop (Hemingway, "The Killers"), conclude enigmatically (Fowles, "The Enigma"), or ambiguously (Wells, "The Country of the Blind"), or even offer alternative endings (Bradbury, "Composition"). Kermode (1965); Bremond (1970); Torgovnick (1981); Bonheim (1982, chs 7-8); Abbott (2002, chs 5, 12).

5. Tense, time, and narrative modes

5.1. Narrative tenses

5-01. There are two major narrative tenses: the ***narrative past*** and the ***narrative present***. Normally, a text's use of tenses relates to and depends on the current point in time of the narrator's speech act. Naturally, the tense used in a character's discourse depends on the current point in time in the story's action. Hence,

- ***discourse-now*** The current point in time in discourse time (5-06): the narrator's NOW.
- ***story-now*** The current point in time in story time (5-06); usually, a character's NOW.

5-02. Here is how one determines a text's narrative tense: Pick a sentence presenting action and identify the tense of its full verb. If this is the past tense or a related tense like the past progressive, the narrative tense is the narrative past. If it is the present, the narrative tense is the narrative present (surprise). The narrative tense usually remains constant over long stretches or all of a text. Stanzel (1984, 23-28); Cohn (1993, 21).

"James," said ***[= narrative past]*** Aunt Emily harshly, "you must run off to bed . . . . Mother needs perfect quiet." (Dos Passos, *Manhattan Transfer*)

Shaking from head to foot, the man . . . at length rises ***[= narrative present]***, supports his trembling frame upon his arms, and looks around. (Dickens, *Edwin Drood*)

- ***tense switch/tense shift*** A switch from the current narrative tense to the complementary narrative tense (ie, narrative past to narrative present and vice versa). A tense switch is normally used to produce an effect of intensification or distancing (moving into/out of focus), change of perspective, etc.

5-03. The present tense in a narrative text can have a variety of functions (Casparis 1975):

- ***narrative present / epic present*** One of the two narrative tenses (see above). The narrative present foregrounds the story-now and backgrounds the discourse-now.
- ***historical present*** A local present tense in a past tense context, usually producing an effect of immediacy or signaling a climax (perhaps comparable to the use of slow motion in film?).
- The ***gnomic present/generic present*** presents (seemingly) common truths or statements claiming general validity, often in the form of a proverb. See Chatman (1978, 82); Stanzel (1984, 108); Wales (1989, 219, 375). Examples:

  It is a truth universally acknowledged, that a single man in possession of a good fortune must be in want of a wife. [***Ironic gnomic statement used at the beginning of Austen's Pride and Prejudice.***]

  Tizzie Dunn was dead, too, and the Waters had gone back to England. Everything changes ***[gnomic present]***. Now she was going to go away like the others, to leave her home. (Joyce, "Eveline")

- ***synoptic present*** The use of the present tense in a chapter summary, the title of a chapter, etc. "Mr. Pickwick journeys to Ipswich and meets with a romantic adventure" (Dickens, *The Pickwick Papers*, qtd. Stanzel 1982, 42).

5-04. Depending on the anteriority or posteriority relationship between discourse-now and story-now, one can distinguish three major cases:

- ***retrospective narration*** produces a past-tense narrative whose events and action units have all happened in the past.
- ***concurrent narration*** produces a present-tense narrative whose action takes place at the same time as it is recounted (discourse-now and story-now are identical). Typical case: diaries, on-the-scene reporting; see simultaneous narration (ch3.3.4) for examples.
- ***prospective narration*** produces a future-tense narrative which recounts events that have not yet occurred. Example: prophetic narrative.

See Margolin (1999) for a detailed comparative survey, Gebauer (2021) for present-tense narratives.

5.2. Time analysis

Time analysis is concerned with three questions: When? How long? and How often? ***Order*** refers to the handling of the chronology of the story, ***duration*** covers the proportioning of story time and discourse time, and ***frequency*** refers to possible ways of presenting single or repetitive action units. {Genette (1980, 33-85, 87-112, 113-160); Toolan (1988, 48-67); Rimmon-Kenan (1983, 43-58). For a more general account see Ricoeur (1983, 1988).]

5-05. "Order" poses the question whether the presentation of the story follows the natural sequence of events. If it does, we have a ***chronological order***. If not, we are facing a form of "anachrony":

- ***anachrony*** A deviation from strictly chronological presentation.

The two main types of anachrony are flashbacks and flashforwards. If the anachronically presented event is factual, it is an ***objective anachrony***; a character's visions of future or memory of past events are ***subjective anachronies***. ***Repetitive anachronies*** recall already narrated events; ***completive anachronies*** present events which are omitted in the primary story line. ***External anachronies*** present events which take place before the beginning or after the end of the primary story line; anachronies that fall within the range of the primary story line are ***internal anachronies***. See Genette (1980, 35-85); Rimmon-Kenan (1983, 46-51); Toolan (1988, 49-50); Ci (1988) [a critical account].

The first chapter of Lowry's *Under the Volcano* postdates the rest of the action by one year, making it either a flashforward or the rest of the action a flashback. The discourse of Graham Swift's *Waterland* deviates considerably from the chronology of the story. Martin Amis's *Time's Arrow* reverses the chronology of the story by telling the story's events backwards.

- ***flashback/retrospection/analepsis*** The presentation of events that have occurred before the current story-now. An ***external flashback*** presents an event occurring before the beginning of the primary story line (ie, in the pre-history).
- ***flashforward/anticipation/prolepsis*** The presentation of a future event before its proper time. An ***external flashforward*** involves an event happening after the end of the primary story line. An ***objective flashforward*** or ***certain anticipation*** presents an event that will actually occur; a ***subjective flashforward*** or ***uncertain anticipation*** is just a character's vision of a likely future event. Genette (1980, 40, 48-79); Lintvelt 1981, 53-4; Rimmon-Kenan (1983, 46-51); Toolan (1988, 50-54); Ci (1988). Examples:

  > An hour later Fielding had still appeared neither at the party office nor Tetbury Hall. The faithful had been sent away, with apologies, little knowing that in three days" time the cause of their disappointment was to be the subject of headlines. (Fowles, "The Enigma" 190) ***[narrator's anticipation]***

  > I see the lives for which I lay down my life, peaceful, useful, prosperous and happy, in that England which I shall see no more. I see Her with a child upon her bosom, who bears my name. I see her father, aged and bent, but otherwise restored, and faithful to all men in his healing office, and at peace. I see the good old man, so long their friend, in ten years' time enriching them with all he has, and passing tranquilly to his reward. (Dickens, *Tale of Two Cities* 404) ***[A subjective, external, and completive flashforward.]***

- ***achrony*** A sequence of temporally unordered events (Genette 1980, 84).

5-06. For "Duration" (the question "How long?") we need to distinguish between "story time" and "discourse time" (see Müller 1968 [1948]).

- ***discourse time*** The time it takes an average reader to read a passage, or, more globally, the whole text. Discourse time can be measured in the number of words, lines, or pages of a text. (A rule of thumb used by radio announcers is that one line of typewritten text equals 1.5 seconds.)

Typical discourse-time oriented questions are, "Can the text be read at one sitting?" (Poe's definition of a short story); "How does discourse time relate to story time?," ie, "How long does it take to tell/read this episode" compared to "How long does its action last?" – Müller (1968 [1948]); Genette (1980, 33-34); Rimmon-Kenan (1983, 44-45).

- ***story time*** The fictional time taken up by an action episode, or, more globally, by the whole action. To determine story time, one usually relies on aspects of textual pace, textual clues, and intuition. Note that story-time may have a highly subjective element to it, especially in figural and reflector-mode narration. If necessary, "clock-time" needs to be distinguished from "mind-time" (*durée*) (Smuda 1981, Stevenson 1998, ch3).

Some useful questions concerning story time are "What is the global time scale of the text?" (the "amplitude" of story time) and "How does story time differ from discourse time?" For instance, while the discourse time of Joyce's *Ulysses* is 650 pages of text its story time is one day (eighteen hours, to be exact). By contrast, a single line of text such as "Ten years passed" compresses ten

years of story time to less than a second of discourse time. Have a look at the following diagram which graphically correlates discourse time and story time in James Joyce's short story "A Painful Case":

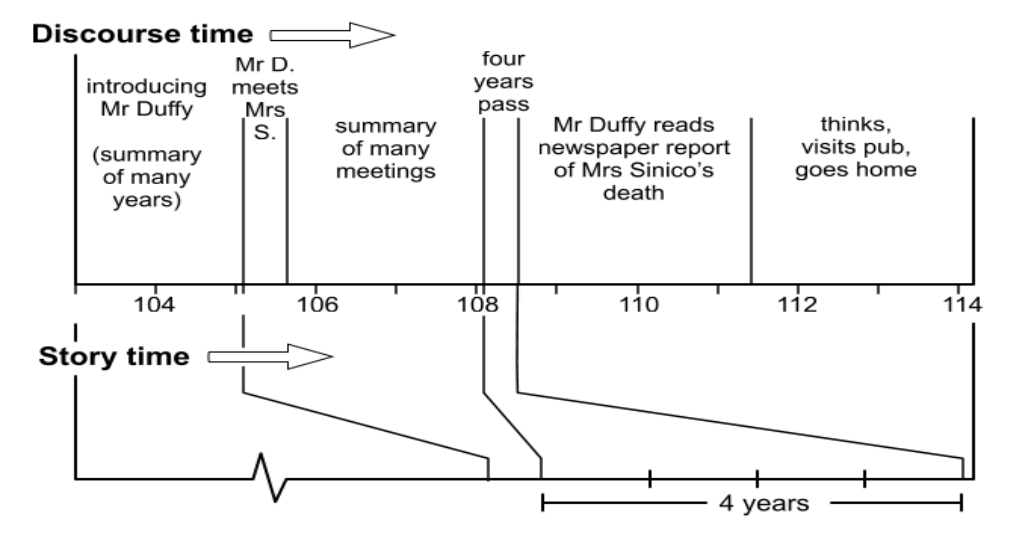

Fig. 15. Time in Joyce's "A Painful Case".

5-07. Discourse time of the story is 11 pages, roughly equivalent to 20 minutes reading time (page numbers refer to the Penguin edition of *Dubliners*). The story is ordered chronologically but the discourse time for the narrative units varies depending on what the narrator presents as summary or as scene (5-11). The main character in the story is Mr. Duffy, a middle-aged intellectual who lives an intentionally solitary and celibate life. One day he makes the acquaintance of Mrs. Sinico, who is also middle-aged and imprisoned in a marriage gone stale. They become friends and spend time together, but the relationship stays platonic until one day Mrs. Sinico commits the unprecedented act of pressing his hand to her cheek. For Mr. Duffy this is going too far and he breaks off all further contact. After four years, Mr. Duffy happens to come across a newspaper article reporting Mrs. Sinico's death by accident. Included in the article is a doctor's statement alleging that she had become an alcoholic. For the remainder of the story, we follow Mr. Duffy's troubled thoughts as he visits a pub and goes home. At first denying, then accepting his part in her fate, he finally acknowledges the utter emptiness of his own life. Note that the second half of the story's discourse time representing Mr. Duffy's perceptions and reflections, corresponds to a bare millimeter on the story time scale. (While this is a heterodiegetic story with Mr. Duffy as an internal focalizer, there are interesting thematic parallels to the homodiegetic "Fishing-Boat Picture" story by Alan Sillitoe (ch9.1).

5-08. In order to assess a narrative passage's ***speed*** or ***tempo***, one compares story time and discourse time. The following major types of relationship occur:

- ***isochronous presentation / congruent presentation / isochrony*** A presentation 'of equal duration' in which story time and discourse time are approximately equal or proportionally mapped. This is normally the case in passages containing mainly dialogue or detailed action statements. Isochrony is a defining feature of the scenic narrative mode (5-11). The German term ***sekundenstil*** describes a second-by-second account of events (as often employed in naturalism). See also Genette (1980, 94-95, 109-112); Rimmon-Kenan (1983, 54-55); Toolan (1988, 57-61).

> "I have your call to New York now, Mrs. Glass," the operator said.
> "Thank you," said the girl, and made room on the night table for the ashtray. A woman's voice came through. "Muriel? Is that you?" The girl turned the receiver slightly away from her ear. "Yes, Mother. How are you?" she said. (Salinger, "A Perfect Day for Bananafish" 7-8)

- In ***speed-up / acceleration*** an episode's discourse time is considerably shorter than its story time. Speed-up typically characterizes a "summary" or "panoramic" mode of

presentation. Genette (1980, 94-95, 95-99); Rimmon-Kenan (1983, 53-54); Toolan (1988, 57-61).

> Set loose, Sybil immediately ran down to the flat part of the beach and began to walk in the direction of Fisherman's Pavilion. Stopping only to sink a foot in a soggy collapsed castle, she was soon out of the area reserved for guests of the hotel.
> She walked for about a quarter of a mile and then suddenly broke into an oblique run up the soft part of the beach. She stopped short when she reached the place where a young man was lying on his back. (Salinger, "A Perfect Day for Bananafish" 14)

- In ***slow-down / deceleration***, an episode's discourse time is considerably longer than its story time. Slow-down is a rare phenomenon; many cases classified as slow-down are probably more properly interpreted as congruent presentations of subjective time. Rimmon-Kenan (1983, 53); Toolan (1988, 57).
- ***ellipsis / cut / omission*** A stretch of story time which is not textually represented at all. "The discourse halts, though time continues to pass in the story" (Chatman 1978, 70). Some critics consider ellipsis a special case of speed-up. Genette (1980, 93, 95, 106-109); Rimmon-Kenan (1983, 53); Toolan (1988, 56).

> Roses, green grass, books and peace. ***[Martha's last thoughts before falling asleep.]***
> Martha woke up with a start when they got to the cottage, and gave a little shriek which made them all laugh. Mummy's waking shriek, they called it. (Weldon, "Weekend" 314) ***[All action during Martha's non-waking state has been omitted.]***

- ***pause*** During a pause, discourse time elapses on description or comment, while story time stops and no action actually takes place. Genette (1980, 95, 99-106); Rimmon-Kenan (1983, 53); Toolan (1988, 56).

5-09. Frequency analysis investigates a narrator's strategies of summative or repetitive telling ("how often" something is told). There are three main frequential modes:

- ***singulative telling*** Recounting once what happened once.
- ***repetitive telling*** Recounting several times what happened once.
- ***iterative telling*** Recounting once what happened n times.

Genette (1980, 113-160); Rimmon-Kenan (1983, 46, 56-58); Toolan (1988, 61-62). Consider also the humorous metanarrative comment given by the self-conscious authorial narrator of Lodge's *How Far Can You Go?*:

> As a contemporary French critic has pointed out in a treatise on narrative ***[an allusion to Genette 1972]***, a novelist can (a) narrate once what happened once or (b) narrate n times what happened once or (c) narrate n times what happened n times or (d) narrate once what happened n times. ***[The occasion for this comment is the narrator's problem of how to recount the sexual experiences of his characters.]***

5.3. Narrative modes

5-10. The main narrative modes (ways in which episodes can be presented) basically follow from the frequential and durational relationships identified above. First, however, let us make the traditional distinction between "showing" and "telling":

- ***showing*** In a showing mode of presentation, there is little or no narratorial mediation, overtness, or presence. The reader is basically cast in the role of a witness to the events.
- ***telling*** In a telling mode of presentation, the narrator is in overt control (especially, durational control) of action presentation, description, characterization and point-of-view arrangement.

5-11. Only two major narrative modes are commonly distinguished – scene and summary:

- ***scene / scenic presentation*** A "showing" mode which presents a continuous stream of

detailed action events. (Durational aspect: isochrony.) Bonheim (1982, 20-24); Genette (1980, 94-95, 109-112); Rimmon-Kenan (1983, 54-55).

> He glanced at the girl lying asleep on one of the twin beds. Then he went over to one of the pieces of luggage, opened it, and from under a pile of shorts and undershirts he took out an Ortgies caliber 7.65 automatic. He released the magazine, looked at it, then reinserted it. He cocked the piece. Then he went over and sat down on the unoccupied twin bed, looked at the girl, aimed the pistol, and fired a bullet through his right temple. (Salinger, "A Perfect Day for Bananafish" 21)

- ***summary*** A "telling" mode in which the narrator condenses a relatively long stretch of story time into a brief, summary report. (Durational aspect: speed-up.) Bonheim (1982, 22-24).

> The years passed. The sun swept through its majestic cycles. The moon waxed and waned, and tides rushed back and forth across the surface of the world. Ice crept down from the north, and for ten thousand years covered the islands, its weight and power breaking down rocks and forming earth. (Michener, *Hawaii* 7)

> He entered into negotiations for the purchase of the bar-room. He took a wife, she bore him sons and daughters, the bar-room prospered, property came and went; he grew old, his wife died, he retired from business, and reached the age when a man begins to feel there are not many years in front of him, and that all he has had to do in life has been done. (George Moore, "Home Sickness")

5-12. Exercise: Analyse tense, speed, frequency, and narrative mode in the following excerpts:

> He goes to the McDonald Hamburger stand, and to graduate student parties to smoke pot, and to political meetings. He writes letters home to the girl with the abortion, and washes his clothes in the laundry down in the basement of the graduate dormitory, shown the way by Ting. He eats Fardiman's apple cake and grades many themes. He stands behind his desk in the Chemistry Building, three days a week, and tells his students about Carnaby Street and Portobello Road. He goes to the Teaching Round Table, where all the graduate assistants sit around a square table and discuss their problems. (Bradbury, "Composition" 293-294) ***[speeded-up iterative summary]***

> I gave my attention back to Dr Almore. He was on the telephone now, not talking, holding it to his ear, smoking and waiting. Then he leaned forward as you do when the voice comes back, listened, hung up and wrote something on a pad in front of him. Then a heavy book with yellow sides appeared on his desk and he opened it just about in the middle. While he was doing this he gave one quick look out of the window, straight at the Chrysler. (Chandler, *The Lady in the Lake*) ***[isochronous singulative scene]***

5-13. In addition to the two major modes, there are two minor or supportive modes: description and comment. These modes are supportive rather than constitutive (no-one can tell a story using description and comment alone).

- ***description*** A "telling" mode in which the narrator introduces a character or describes the setting. Durational aspect: pause. As Chatman (1978, 43-44) points out, descriptive sentences are typically predicated on "stative verbs" like *be* and *have* ("His hair was white. He had no friends or relatives"). See also block characterization (7-04). Examples:

> He had numbered ninety years. His head was completely bald – his mouth was toothless – his long beard was white as snow – and his limbs were feeble and trembling. (G.W.M. Reynolds, *Wagner the Were-Wolf*)

> In the centre of the square stands the courthouse itself, a Victorian building of no distinction, with defensive cannon at every corner. In front of the courthouse stands a statue, of a soldier, his rifle in a negative position, a Henry Fleming who has been perpetuated as he ducks out of the Civil War. (Bradbury, "Composition" 286)

- ***comment/commentary*** A "telling" mode in which the narrator comments on characters, the development of the action, the circumstances of the act of narrating, etc. Durational aspect: pause. Comments are typical narratorial intrusions and often indicative of "self-conscious narration." See 3-55 and Bonheim (1982, 30-32). Example:

> I've been a postman for twenty-eight years. Take that first sentence: because it's written in a simple way may make the fact of my having been a postman for so long seem important, but I realize that such a fact has no significance whatever. After all, it's my fault that it may seem as if it has to some people just because I wrote it down plain; I wouldn't know how to do it any other way. (Sillitoe, "The Fishing-Boat Picture" 135)

6. Setting and fictional space

6-01. Theoretical accounts of literary representations of space have been slow in coming, especially when compared to studies on time, tense, and chronology. For a long time, scholars simply followed Lessing's dictum that literature is a "temporal art" as opposed to "spatial" arts like painting and sculpture. Thus, for a long time, the general assumption was that a verbal narrative's setting simply is not as important as its temporal framework and chronology. In recent years, however, the balance seems to have been redressed, see Dennerlein (2009), Ryan (2014), Fludernik and Keen (2014), Weik von Mossner (2017).

6-02. Let us quickly browse through some earlier accounts. Josef Frank (1963 [1948]) isolates a number of stylistic techniques that create an effect of what he terms "spatial form." Using the term "chronotopes" (literally, "time spaces"), Bakhtin (1981b [1973]) notes the fact that time and space in narrative texts can be closely correlated, and this is investigated in detail by Riffaterre (1996). Stanzel (1984, ch5.2) finds that space in fiction is distinct from space in the visual arts because space in fiction can never be presented *completely*. Describing the entire interior of a room, to the smallest visible detail, is an impossible (and probably boring) task, while the full *depiction* of a room in the medium of film poses no problem at all. In verbal narrative, a room can only be described by referring to a small selection of more or less graphic detail – luckily, in the process of reading, readers will "connect the dots" and complete the verbal picture by imagining the rest.

6-03. For a different point of departure, let us remind ourselves that there is a close relationship between objects and spaces. A fishbowl is an object from our human point of view, but to the goldfish it is a space; similarly, a house is an object in a larger environment (a district, a city), but to its inhabitants it is a space to move and exist in. In other words, what's space and what's an object *in* space is a matter of adopted perspective and environmental embeddedness. Hence our definition of literary space:

- ***literary space*** The environment which accommodates objects and characters; more specifically, the environment in which characters move and live in.

Literary space in this sense is more than a stable place or setting – it includes landscapes as well as climatic conditions, cities as well as gardens and rooms, indeed, it includes everything that can be conceived of as spatially located environments, persons, and objects. Along with characters, space belongs to the "existents" of a narrative (Chatman 1978). [Bakhtin (1981b [1973]); Kahrmann et al. (1977, ch4); Chatman (1978, 96-106, 138-145); Hoffmann (1978); Bronfen (1986); Ronen (1994, ch6); Würzbach (2001).

6-04. Paralleling the concepts "story time" and "discourse time" (5-06), Chatman proposes the pair "story space" and "discourse space":

- ***story space*** The spatial environment or setting of any of the story's action episodes; or more globally, the ensemble or range of these environments.
- ***discourse space*** The narrator's current spatial environment; more globally, the whole range of environments in which the narrative situation is located. For instance, hospitals and psychiatric wards are popular modern discourse spaces (J.D. Salinger's *The Catcher in the Rye*, Günter Grass's *The Tin Drum*).

6-05. More specifically still, the terms "story-here" and "discourse-here" can be used to identify

the current deictic "point of origin" in story space and discourse space, respectively.

- ***story-here*** The current point in space in story space; functionally, the deictic point of origin for deictic expressions such as *here*, *there*, *left*, *right*, etc, often used in register with the physical position of a reflector.
- ***discourse-here*** The current point in space in discourse space, equivalent to the physical position of the narrator. Example:

> The solid wood desk, on which I am writing, formerly a jeweler's workbench, is equipped with four large drawers and a top whose surface, slightly sloping inwards from the edges (no doubt so that the pearls that were once sifted on it would run no risk of falling to the floor) is covered with black fabric of very tightly woven mesh. (Georges Perec, "Still Life/Style Leaf")

Story-here and discourse-here, in conjunction with story-now and discourse-now, identify the story's current ***deictic center***, ie the origin or zero point of the text's spatio-temporal co-ordinate system.

6-06. As Ronen (1986; 1994) points out, any description of space invokes a perception of space: apart from the reader's imaginative perception, this is either a narrator's perception, or a character's perception; both can be either actual (online) perception or imaginary (offline) perception. For this reason, fictional space is evidently strongly correlated to focalization.

Most important among the linguistic clues to spatial perception are expressions that signal the "deictic orientation" of a speaking or perceiving subject, representing the current deictic center. On the most basic level this concerns expressions like *near* and *far*, *here* and *there*, *left* and *right*, *up* and *down*, *come* and *go*, etc. Significant oppositional spaces are city vs. country, civilization vs nature, house vs garden, transitional space vs permanent space, and public space vs private space. All these spaces are culturally defined (Baak 1983, 37) and therefore variable; often, they are also associated with attitudinal stances and value judgments.

6-07. What makes an inquiry into the semantics of literary space so promising is the fact that spatial features can significantly influence characters and events. This is often referred to as the "semanticization" or "semantic charging" of space. For instance, in Katherine Mansfield's "Miss Brill," the protagonist's room is likened to a "cupboard," a simile that not only captures the dimensions of the room but also expresses its cramped atmosphere and Miss Brill's isolation. Other examples:

> I held a florin tightly in my hand as I strode down Buckingham Street towards the station. The sight of the streets thronged with buyers and glaring with gas recalled to me the purpose of my journey. I took my seat in the third-class carriage of a deserted train. After an intolerable delay the train moved out of the station slowly, crept onward among ruinous houses and over the twinkling river. At Westland Row Station a crowd of people pressed to the carriage doors; but the porters moved them back, saying that it was a special train for the bazaar. I remained alone in the bare carriage. In a few minutes the train drew up beside an improvised wooden platform. I passed out on to the road and saw by the lighted dial of a clock that it was ten minutes to ten. In front of me was a large building which displayed the magical name. (Joyce, "Araby")

Here the spatial details of the boy's journey to the bazaar named "Araby" (a name suggesting an exotic foreign space) foreshadow his frustrating experience there. The emotive connotations of the "magical name" are partly mirrored, and partly contrasted in the drab Dublin environment through which he passes. Hint: consider also the initiation aspects of this story (3-13).

6-08. Finally, consider the famous introductory description of the "valley of ashes" in Fitzgerald's *The Great Gatsby* (ch2), later the scene of a tragic car accident.

> About half-way between West Egg and New York the motor road hastily joins the railroad and runs beside it for a quarter of a mile, so as to shrink away from a certain desolate area of land. This is a valley of ashes – a fantastic farm where ashes grow like

wheat into ridges and hills and grotesque gardens; where ashes take the forms of houses and chimneys and rising smoke and, finally, with a transcendent effort, of ash-grey men, who move dimly and already crumbling through the powdery air. Occasionally a line of grey cars crawls along an invisible track, gives out a ghastly creak, and comes to rest, and immediately the ash-grey men swarm up with leaden spades and stir up an impenetrable cloud, which screens their obscure operations from your sight.

6-09. Exercise: relate the following representations of space to the underlying narrative situations and focalizations.

(1) [Coketown] was a town of red brick, or of brick that would have been red if the smoke and ashes would have allowed it; but as matters stood it was a town of unnatural red and black like the painted face of a savage. It was a town of machinery and tall chimneys, out of which interminable serpents of smoke trailed themselves for ever and ever, and never got uncoiled. It had a black canal in it, and a river that ran purple with ill-smelling dye, and vast piles of building full of windows where there was a rattling and a trembling all day long, and where the piston of the steam-engine worked monotonously up and down like the head of an elephant in a state of melancholy madness. (Dickens, *Hard Times* chV)

(2) [T]hey were clanking through a drive that cut through the garden like a whip-lash, looping suddenly an island of green, and behind the island, but out of sight until you came upon it, was the house. It was long and low built, with a pillared veranda and balcony all the way round. The soft white bulk of it lay stretched upon the green garden like a sleeping beast. And now one and now another window leaped into light. Someone was walking through the empty rooms carrying a lamp. (Mansfield, "Prelude" 17)

Answers. (1) is an authorial narrator's panoramic view – a highly critical one – of the novel's main setting. (2) is a figural narrative presenting elements of space as seen from the moving point of view of a reflector. Significantly, some objects only become visible as the cart gets closer to the house.

7. Characters and characterization

7-01. Characterization analysis investigates the ways and means of creating the personality traits of fictional or nonfictional agents. The general template question is, Who (subject) characterizes whom (object), in which manner and in what social context, as having which properties. For a general introduction, see Chatman (1978, 107-133); Rimmon-Kenan (1983, 59-70); Pfister (1988, ch5); Margolin (1989); Bonheim (1990, ch17); Fokkema (1991); Nieragden (1995); Schneider (2000); Culpeper (2001) [the latter two are cognitive approaches]; Eder (2008).

7-02. For a survey of characterization techniques, we will add suitable options to the general template question. The result is the multi-part mind map shown in Figure 16, which is a much-simplified version of Pfister's dichotomy of characterization in drama (1988, 184).

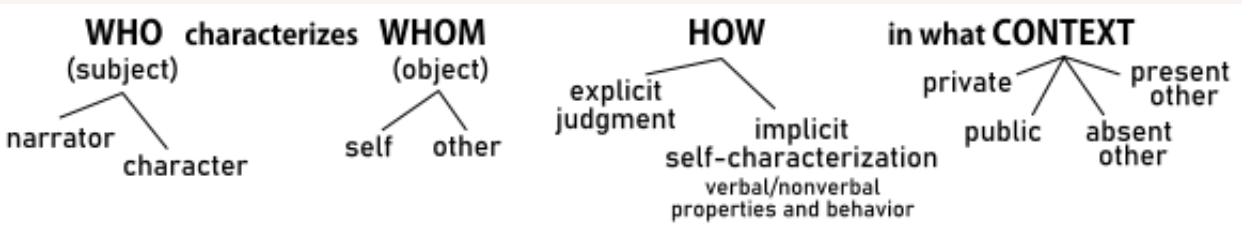

Fig. 16. WHO characterizes WHOM in what CONTEXT.

Characterization analysis relies on four basic questions. First we can ask whether the characterizing subject is the narrator or a character, which allows us to set ***narratorial*** against ***figural characterization***; second, we can ask whether the characterizing subject characterize himself/herself or somebody else, which lets us distinguish between ***self-characterization*** and

other-characterization;[15] third, we can ask whether personality traits are attributed by a verbal statement or implied in somebody's behavior, and on this basis we can juxtapose ***explicit*** and ***implicit characterization***; and fourth, we can check how a characterization may be conditioned by contextual factors such as a private or a public setting and the presence or absence of the characterized object.

7-03. Specifically, an explicit characterization is a verbal statement that attributes a trait or property to somebody, either oneself or somebody else. Usually, an explicit characterization is a descriptive statement which identifies, categorizes, individualizes, and evaluates a person. Characterizing judgments can refer to external, internal, or habitual traits as in "John has blue eyes, is a good-hearted fellow, and smokes a pipe".[16] The traits attributed may only be vague, allusive, or even elliptical, as in A.E. Housman's famous "I was one-and-twenty,/No use to talk to me." See Srull and Wyer (1988) for a theory of character attribution in social cognition, especially their use of the concepts "identification," "categorization," and "individualization".

7-04. A narrator's explicit self- or other-characterization marks a narrative pause (5-08), where nothing happens on the level of action. A typical example is the so-called ***block characterization***, ie the introductory description of a character, usually offered on the character's first appearance in the text (Souvage 1965, 34-36). Example:

> He was personable and quick-minded, which might, with his middle-class manner and accent, have done him harm; but he was also a diplomat. [. . .] His name was Michael Jennings. (Fowles, "The Enigma")

In contrast, a *character's* explicit self- or other-characterization is a speech act that is part of the story's narrative action:

> She [Katie] pecked Martha on the forehead. "Funny little Martha," she said. "She reminds me of Janet. I really do like Janet." (Weldon, "Weekend" 320)

In both cases, explicit characterization may be marked by face- or image-saving strategies, wishful thinking, or other "subjective distortions" (Pfister 1988, 184) – similar to what one finds in lonely hearts ads, letters of application etc. Characterization statements usually also depend on contextual circumstances such as social setting, addressee-oriented pragmatics, and general "strategic aims and tactical considerations" (again Pfister 184). Moreover, explicit judgments can be uttered publicly or privately (in a dialogue or in an interior monologue [8-15]), and the target of an other-characterization may happen to be present or absent in the current scene. One can see the problem of truthfully characterizing a dictator to his face.

7-05. An implicit characterization is a self-characterization in which somebody's physical appearance or behavior is indicative of some characteristic trait. For instance, characters and narrators can characterize themselves by behaving or speaking in a certain manner. Nonverbal behavior may self-characterize somebody as, for instance, a skillful chess player, an alcoholic, a coward. Verbal behavior (use of jargon, slang, dialect, or sociolect) may self-characterize the speaker as having or lacking a certain educational background, belonging to a specific social class, and more generally as being truthful, evasive, or ill-mannered. Narrators, in particular, often characterize themselves by their verbal behavior. Like explicit characterization, implicit characterization is usually affected by contextual circumstances such as a public or a private setting. Specifically, one should call to mind that the narrative act itself takes place in a public space involving the narrator and his or her audience.

7-06. Here are some questions testing our understanding of Pfister's model. Read carefully; the questions may look simple, but they are really loaded and require circumspect answers.

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[15] *Self-characterization* and *other-characterization* here replace the terms *auto-characterization* and *altero-characterization* used in previous versions of this document.

[16] There may be some confusion potential here. Although "John is a smoker" describes a behavior, it remains an explicit characterization because it is expressed verbally. In contrast, when John is presented as smoking in the story's narrative action he is implicitly characterizing himself as a smoker (or possibly as pretending to be one).

1. Can a character characterize the narrator?
2. Suppose a narrating-I explicitly characterizes an experiencing-I – would this be self-characterization or other-characterization?
3. Can a narrator implicitly characterize a character?
4. Can a narrator explicitly characterize a member of the narrative audience?
5. Can a character insult a dictator to his face?

Answers. 1. No, characters are never aware of narrators, at least in principle. However, should the narrator allow metalepses then the answer would be Yes. See 2-18 for the logic of this (or lack of it). 2. This needs to be decided on a case-by-case basis. If the experiencing-I is distanced in time and mindset s/he is probably best understood to be "an other." On the other hand, if the narrative distance happens to be small, and the difference between narrating-I and experiencing-I negligible (as in simultaneous narration (3-19) then self-characterization would be plausible. Obviously, the narrator's own view and handling of the matter should be considered as well. 3. No! There is no such thing as an implicit other-characterization in Pfister's system (see ch7.4). All implicit characterizations are self-characterizations. What a narrator can and does do is select situations in which characters implicitly characterize themselves. 4. Yes; the narrator of *Tristram Shandy* is famous for doing so. 5. That is possible, of course, and it would at the same time amount to a powerful implicit self-characterization, possibly indicating courage, desperation, or foolhardiness. (The scenario does occur in Nabokov's *Bend Sinister*.)

7-07. The implicit self-characterization of a narrator is always of major importance: is the narrator overt? covert? omniscient? competent? opinionated? self-conscious? well-read? ironic? reliable? Ever since Booth (1961, chs 8, 10, 12) offered his account of narratorial reliability and trustworthiness, the topic has been discussed extensively – see Genette (1980, 182-185); Lanser (1981); Rimmon-Kenan (1983, 59-67, 100-103); Stanzel (1984, 150-52); Wall (1994); Nünning (1997; 1998; 1999); Yacobi (2000), D'hoker and Martens (2008), V. Nünning, ed (2015); Vogt (2018); Jacke (2020) [the latter two are German PhD theses].

- ***reliable narrator*** A narrator "whose rendering of the story and commentary on it the reader is supposed to take as an authoritative account of the fictional truth" (Rimmon-Kenan 1983, 100).
- ***unreliable narrator*** A narrator "whose rendering of the story and/or commentary on it the reader has reasons to suspect. … The main sources of unreliability are the narrator's limited knowledge, his personal involvement, and his problematic value-scheme" (Rimmon-Kenan 1983, 100). Many first-person narrators are unreliable.

  > True! – nervous – very, very dreadfully nervous I had been and am! but why *will* you say that I am mad? The disease had sharpened my senses – not destroyed – not dulled them. Above all was the sense of hearing acute. I heard all things in the heaven and in the earth. I heard many things in hell. How, then, am I mad? Hearken! and observe how healthily – how calmly I can tell you the whole story. (Poe, beginning of "The Tell-Tale Heart") ***[Not at all a "healthy and calm" way of beginning a story!]***

Some theorists make a distinction between "factual" or "mimetic" (un)reliability and "evaluative" or "normative" (un)reliability: "a narrator may be quite trustworthy in reporting events but not competent in interpreting them, or may confuse certain facts but have a good understanding of their implications" (Lanser 1981, 171). According to Cohn (1999, ch8), Thomas Mann's *Death in Venice* is told by a mimetically reliable but normatively unreliable narrator.

7-08. E.M. Forster's distinction between flat characters and round characters concerns the psychological depth or sophistication of a person's perceived character traits:

- ***flat character / static character*** A one-dimensional figure characterized by a very restricted range of speech and action patterns. A flat character does not develop in the course of the action and can often be reduced to a type or even a caricature (eg, "a typical Cockney housewife," "a bureaucrat" etc). Flat characters are often used for comic effect – Mrs. Micawber in Dickens's *David Copperfield* is characterized by keeping on saying "I never will desert Mr. Micawber".

- ***round character / dynamic character*** A three-dimensional figure characterized by many, often conflicting, properties. A round character tends to develop in the course of the action and is not reducible to a type. Forster (1976 [1927]); Rimmon-Kenan (1983, 40-42); Pfister (1988, 177-179). Rimmon-Kenan (1983, 41) identifies Stephen in Joyce's *A Portrait of the Artist as a Young Man* and Strether in James's *The Ambassadors* as round characters.

7-09. Here is a selective list of functionally determined character types:

- ***confidant*** (fem. ***confidante***) Somebody the protagonist can speak to, exchange views with, confide in – usually a close friend. – Dr. Watson is Sherlock Holmes's confidant (and also his "foil," see below). Sam is Frodo's confidant in Tolkien's *Lord of the Rings*.
- ***foil character*** A foil is, literally, "a sheet of bright metal that is placed under a piece of jewelry to increase its brilliancy" (Holman 1972); one meaning of *to foil* is "to enhance by contrast." In literature, a minor character highlighting certain features of a major character, usually through contrast. – In Weldon's "Weekend," Janet is a foil for Katie and Katie is a foil for Martha. Sherlock Holmes's cleverness is highlighted by Dr. Watson's dullness.
- ***chorus character*** Originally a convention in drama, an uninvolved character ("man in the street," for instance) commenting on characters or events, typically speaking philosophically, sententiously, or in clichés.

> "One time we had a mayor of Chicago punched your King George right in the snoot .... Don't forget now," says the cabbie, "It's better here, so if you don't like it go back where you came from." (Bradbury, "Composition" 289***) [The American taxi driver who takes William, a British student, to the campus.]***

7-10. A text's system of ***denomination / appellations / naming conventions*** is the specific set of naming strategies used to identify and subsequently to refer to its characters. Since naming patterns often dovetail with characterization, point of view or focalization, they merit close stylistic analysis. Key questions are (i) How does a text establish a character's identity in a block characterization? (ii) Are the characters mainly referred to by first name, nickname, last name, with or without a (honorific) form of address (Mr, Mrs, Dr, Father, Senator, Colonel, ...), or by a descriptive referring expression? (For instance, in Joyce's *Ulysses*, the younger protagonist is "Stephen," while the older protagonist is "Mr Bloom"; Dickens often uses textually mentioned epithets such as "his eminently practical friend" etc). (iii) When and with what implications or presuppositions does the text use personal pronouns? See Uspensky (1973) [first close analysis of point-of-view aspects of naming]; Genette (1983) [discussion of character identification in 19C and 20C story incipits]; Moore (1989) [naming conventions in James's *What Maisie Knew*]; Fludernik (1996, 246-48); Emmott (1997) [major study mainly focusing on pronouns]; Collier (1999) [naming conventions in Patrick White].

8. Discourses: quoting speech, thought, and writing

8-01. A verbal narrative is the oral or written text produced by a narrator through an act of narrating. In the narrative itself we encounter passages presenting the speeches, thoughts, and writings of characters. Very simply put, according to Genette:

- The ***narrator's discourse*** tells the ***narrative of events***.
- The ***characters' discourses*** tell the ***narrative of words***.

In the following paras we will be concerned with looking at the various interactions between these two types of discourses. Basically, narrators can quote a character directly or indirectly, or they can summarize a character's discourse, or they can blend the character's discourse into their own. Dolezel (1973: Introduction) describes a narrative text as a "concatenation and alternation" of the narrator's and the characters' discourses. See also Genette (1980, 164-169; 1983, 18, 43, 61-63, 130); Lintvelt (1981, ch4.6.2); Palmer (2004, ch3); Schmid (2005, ch4.3); McHale (2014).

8-02. In order to get a grip on basic concepts we will make use of quotation theory as developed by Meir Sternberg (1982b).

- ***quotation theory*** The theory of the narrative options of embedding a character's words. The primary relationship is one between ***narratorial frame*** and ***quoted inset***.

- Narratorial ***tone*** can range from "wholly consonant" (approvement) via "neutral" to "wholly dissonant" (critical, ironical). The inset can represent actual words or virtual words (hypothetical utterances as well as verbalized thoughts and other acts of mentation). The inset's authenticity or accuracy can range from verbatim reproduction to rough approximation to misquotation. See Cohn (1978); Sternberg (1982b) [frame and inset]; Genette (1983, ch9); Plett (1988).
- An ***attributive reporting clause*** or ***tag*** is part of a quotation's narratorial frame. It usually consists of a phrase identifying speaker and type of discourse act. There are two main forms:
- An ***introductory tag*** is a discourse tag in initial position (*Jane said (that)*).
- A ***parenthetical tag*** is a discourse tag in medial or final position (*That, she thought, was it*; *"That is it," she thought*).

8-03. Usually, tags are constructions using (a) *verba dicendi* or ***inquits*** (she said, asked, replied, muttered, confessed, claimed, remarked, promised, announced, . . .), (b) *verba cogitandi* or ***cogitats*** (she said to herself, thought, realized, felt, . . .), and (c) *verba scribendi* or ***scribits*** (she wrote, read, noted, . . .). Naturally, attributive tags come in many forms, for instance, items like "the notion struck him that," "he promised us to," or "According to John" etc also count as tags. Quoted discourse comes in either free or tagged form:

- A ***free*** rendering of a character's discourse is one that is *not* accompanied by an attributive tag; whereas a ***tagged*** rendering is one that *is* accompanied by an attributive tag.

See Page (1973, ch2); Prince (1978); Bonheim (1982, ch5 [historical and stylistic features of inquits]; Banfield (1982, ch1.3.1, 2.2, 2.3); Neumann (1986 [ambiguous forms in Austen]); Collier (1992b, ch11 [comprehensive survey, but restricted to direct discourse inquits]); Fludernik (1993a, ch5.2 [tag phrases and free indirect discourse]).

8-04. The following tree diagram lists the main forms of quoted discourse.

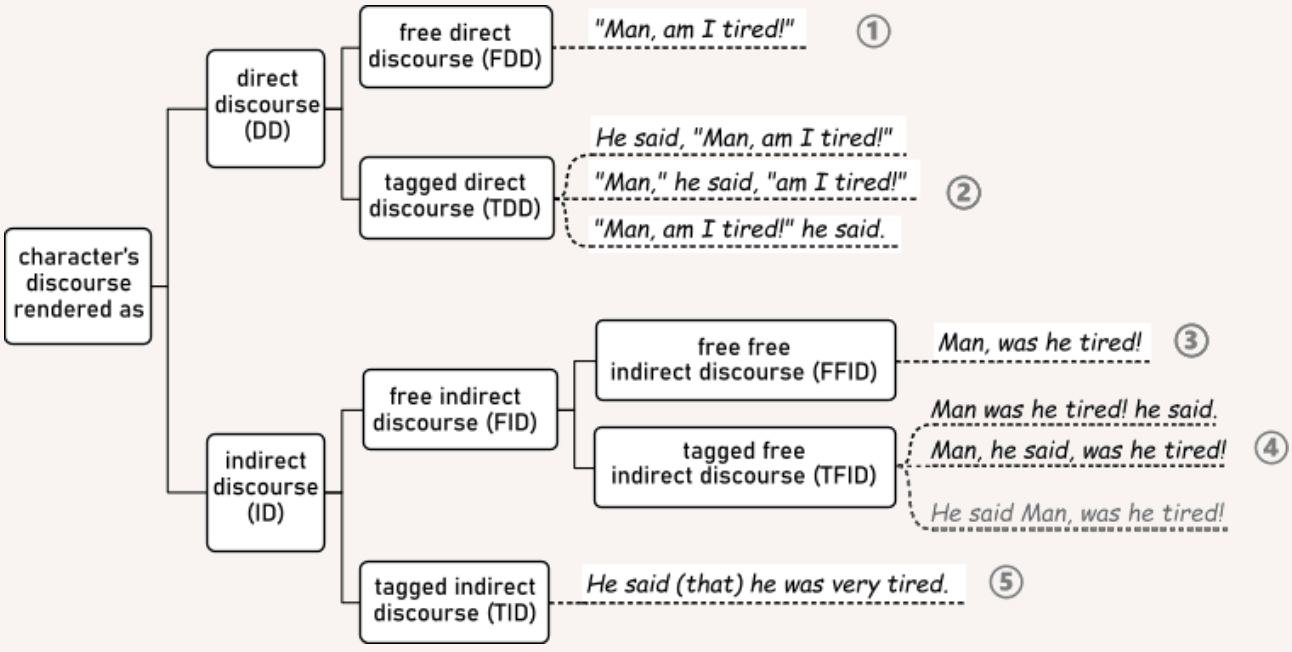


Fig. 17. Quoted discourse.

1. ***Free direct discourse (FDD)*** is a direct quotation of a character's discourse without any attributive tag phrase. Sometimes the quotation marks are replaced by other typographical markers, and sometimes they are left off entirely.

2. ***Tagged direct discourse (TDD)*** is a stretch of direct discourse accompanied by an attributive

tag.

As Sternberg (1982) points out, narrators often summarize and grammatically straighten their character's discourse. For this reason, DD can markedly deviate from any presumptive original, and the original utterance may not be retrievable from it at all. Sternberg calls this the ***direct discourse fallacy***. (But see Short 2013 for a critical comment.)

3. ***Free free*** [sic!] ***indirect discourse (FFID)*** generally retains the quoted speaker's subjective syntax and expressions but uses the narrator's tense and person reference.

Since there is no attributive tag FFID may occasionally look just like plain narratorial report, especially in the absence of any spoken language markers. For instance, "It was twelve o'clock" could be a narrator's factual report or a FFID rendering of a character saying (aloud or to herself) "It is twelve clock."

For situations like this Toolan (2001, 132) has devised the following "FID test" procedure. First, create two unambiguous versions including attributive tags – one that binds the sentence to the point of view of the narrator and another that binds it to the point of view of the character. For instance, given the sentence "It was twelve o'clock" compare these two versions:

a) I, the narrator, tell you, the reader, that it was twelve o'clock story time.
b) It was twelve o'clock, Jane told Sue/herself. [Possible DD: "It is twelve o'clock"]

The next step is to assess (on the strength of content, context, and language or idiom) which version has the better "fit." If it is option b) then the test result is positive and the sentence is FFID. This determination may be crucial for understanding the text's narrative situation, the character's level of knowledge, even possible plot consequences – suppose the clock is slow, the character misses her plane, the plane crashes etc.[17]

4. ***Tagged free indirect discourse (TFID)*** This (exceptional) form uses a tag in initial position. I am graying this item because its status is controversial in the literature: Banfield (1982) condemns it as "ungrammatical," while McHale (1983) and Leech and Short (2007) stress its acceptability and wide use in both natural and literary texts. I side with these latter commentators but have nudged the item's branch towards the TID slot to highlight the fact that the two styles can, on occasion, result in very similar or even identical sentences, especially when the original utterance does not contain any character-specific speech elements such as deictic pronouns or subjective expressions. Other than that, a TFID inset exhibits the same characteristics as a FFID inset.

For a selection of the massive literature on FID see Pascal (1977 ["dual voice" theory]); McHale (1978 [succinct overview]); Banfield (1982, 2019 [generative-grammar account]); Rimmon-Kenan (1983, 110-16); Cohn (1978, 99-140 [consonance and dissonance]); Toolan (2001) [FID test]; Fludernik (1993a) [comprehensive account]; Schmid (2010, ch4.3) [cultural and historical variants of FID].

5. ***Tagged indirect discourse (TID)*** is basically equivalent to the school-grammar category of indirect speech. The tag is an introductory tag (initial position), followed by a subordinate clause of quoted discourse. Pronouns, tenses, and referring expression are adjusted to the point of view of the narrator, and expressive elements, if used, are usually mentioned in the tag only – as in "she exclaimed furiously."

8-05. Note that it is sometimes difficult or even impossible to decide whether a sentence belongs to one category or another, or indeed either. We have already mentioned possible identical renderings in the case of TID and TFID (see comment on TFID above). For another example, take Chatman's tag-less sentence "The room was dark." If the character explicitly thinks "The room was dark" it is a case of DT; if s/he thinks "The room is dark" it is a case of FFIT; if s/he doesn't think or say anything at all it could be a matter-of-fact narratorial description or a case of narrated non-reflective perception (8-12, see also the "FID test" mentioned in the comment on FFID, above). Usually, consideration of context disambiguates such cases pretty quickly, see the discussion of this case in 3-59. However, the ambiguity may also be intentional and unresolvable. Simple and clear-cut as these techniques may appear at first glance, it is their potential

[17] In Hemingway's "The Killers," at one point barman George "looked up at the clock. It was a quarter past six." Previously, George had admitted that the clock was twenty minutes fast. What time is it now?

ambivalence that narrators can use to create very subtle effects.

8-06. Let us quickly refine the foregoing general categories by associating them with specific acts of speech, thought, and writing. All we have to do is to replace "D" for discourse by "S" for speech, "T" for thought, and "W" for writing, respectively. In all, we get 3 x 5 = 15 specific terms, including ***DS*** (direct speech), ***IS*** (indirect speech), ***TDS*** (tagged direct speech), ***FFIS*** (free free indirect speech), . . . , ***DT*** (direct thought), ***IT*** (indirect thought), ***FDT*** (free direct thought), ***TFIT*** (tagged free indirect thought), . . . , ***DW*** (direct writing), ***IW*** (indirect writing), ***FDW*** (free direct writing), ***FFIW*** (free free indirect writing), etc.

8-07. Time to check out some examples from real texts and do an exercise.

- Only I myself am novel, he thinks, the experience is not . . . But what, he thinks, next? (Bradbury, "Composition")
  → ***Tagged direct thought: TDT***
- Wonderful! The best husband in the world: look into his crinkly, merry, gentle eyes; see it there. So the mouth slopes away into something of a pout. Never mind. Gaze into the eyes. Love. It must be love. You married him. (Weldon, "Weekend" 313)
  → ***FDT.***[18]
- Mrs Dalloway said she would buy the flowers herself (Woolf, *Mrs. Dalloway*).
  → ***TIS. Possible DS: I will buy the flowers myself.***
- Maisie Johnson positively felt she must cry Oh! (*Mrs. Dalloway*)
  → ***TFIT (variant 3). DS: I must cry "Oh".***
- This was a lonesome post to occupy (I said) (Dickens, "The Signalman")
  → ***TFIS (variant 1). DS: This is a lonesome post to occupy.***
- He will write to her?
  He will write to her every alternate day, and tell her all his adventures. (Dickens, *Edwin Drood*)
  → ***A dialogue rendered as FFIS. DS: You will write to me? I will write to you . . . . tell you all my adventures . . .***

8-08. Analyze the following passages yourself, and for any instance of ID specify a possible DD source.

(1) Let me alone! screamed Anthony silently. Let go of me! (Metalious, *The Tight White Collar*)

(2) Would it bore you to come with me, Mr. Tansley? (Woolf, *To the Lighthouse*)

(3) Have I heard, she wants to know, from poor Blanche? (Delafield, *Diary of a Provincial Lady*)

(4) The Chairman said that the Air Officer Commanding regarded the question of heating as of utmost importance. In view of the small coal ration, was it possible or desirable to convert to oil heating? ***[a real-life (non-fictional) example]***

(5) "When do you leave?" she asked.
"Tomorrow night."
She said nothing more. Strangely enough, a tinge of melancholy had settled over her spirits. No doubt the proximity of the town was the cause of this. (Orczy, *The Scarlet Pimpernel*)

Answers. 1 TDT, followed by FDT; 2 FDS (possibly FDT); 3 TFIS (DS: Have you heard from . . .); 4 TIS,

[18] As Banfield (1982) points out, it is difficult to convert an imperative construction into FID, or quote forms of address in FID. But see Fludernik (1993, 152) for counter-examples using constructions like "Would he please stop!"

then FFIS (DS: He regards the question … is it possible or desirable …); 5 TDS > FDS > FFIT (DS: … proximity of the town is the cause for this; note, interpretation needed to recognize this as FFIT).

8-09. Our terms mainly follow Semino and Short's (2004) influential model of speech, writing and thought presentation, a model now frequently used in corpus analysis projects. Corpus analysis preferably needs an exhaustive classification of text elements, so Semino and Short also define terms like N (narrative), NI (internal narration), NRSA (narrator's report of speech act) etc. In our approach, such elements are discussed as narrative modes (ch5.3). Pursuing an earlier intuition, Semino and Short persist in arranging their categories on a scale of freedom from narratorial manipulation, while in our model they are left intentionally nominal. For superordinate categories Semino and Short use abbreviations like "(F)DS," "(F)DT," and "(F)DW," and they treat FDS, FDT, and FDW as "subtypes" of DS, DT, and DW (2004, 198). In our taxonomy, by contrast, superordinate and subordinate categories are terminologically distinct. For "(F)DS" we have just "DS," for "(F)DS, (F)DT, and (F)DW" collectively we have just DD, which seems an advantage.

8-10. Of course, our model is far from perfect. Terminologically, the "double free" FFID is a hard pill to swallow and I do not expect it to become very popular in narratological circles. Admittedly, too, a taxonomy is never fully comfortable with borderline cases and mixed types, yet many of these – often the most intriguing ones – do occur in narrative texts, as amply documented by Semino and Short. Schmid (2010), in particular, analyzes discourse presentations by drawing up stylistic profiles based on eight features pointing to either the narrator's or the character's text (NT and CT in Fig. 18, below). For instance, Schmid defines standard English and German FID in heterodiegetic past-tense narrative as follows.

	1. Theme	2. Evalua-tion	3. Person	4. Tense	5. Orienta-tion syst.	6. Lang. function	7. Lexis	8. Syntax
NT			x	x				
CT	x	x			x	x	x	x

Fig. 18. Past-tense heterodiegetic FID (Schmid 2010, 147).

Note that the FID profile of, for instance, homodiegetic present-tense narrative would place the x's differently for features Tense and Person. Exploring possible feature combinations, Schmid isolates many interesting variants both diachronically and across languages (mainly German, Russian, and English).

8-11. Let us briefly turn to some less clear-cut but nevertheless interesting cases. To begin with, one can note that a dominant narrator can easily reduce a character's discourse to almost nothing. Among such forms of ***narrative report of discourse*** McHale (1978, 258-60) discerns three main types (further subtypes listed in Semino/Short 2004, ch3.1.1).

- ***diegetic summary*** The narrator mentions a discourse event without further specification.
- ***summary report*** The narrator names the general topic only.
- ***indirect content-paraphrase*** The narrator summarily reports propositional content.

> Discussion very active indeed ***[diegetic summary]***. I talk to plain young man with horn-rimmed glasses, sitting at my left hand, about Jamaica, where neither of us has ever been ***[summary report]*** … Go into the drawing room, and all exclaim how nice it is to see the fire ***[indirect content-paraphrase]***. (Delafield, *Diary of a Provincial Lady*)

8-12. Psychological states are usually rendered by the following forms of narratorial report:

- ***psycho-narration*** The textual representation of a character's conscious or unconscious mental states and processes, mainly by using forms of "narrative report of discourse" or "narrated perception."

- ***narrated perception*** The textual representation of a character's perception, often using a form of psycho-narration, or a rendering in indirect discourse or free indirect discourse. See Fehr (1938); Chatman (1978, 203-205).

8-13. Presenting the mental processes of characters, their thoughts and perceptions, their memories, dreams, and emotions became a prime point of interest as well as a challenge for late 19C and early 20C novelists such as D.H. Lawrence, Virginia Woolf, James Joyce, William Faulkner, Dorothy Richardson, Patrick White, and many others. The following excerpt from one of Virginia Woolf's essays succinctly formulates the program of literary impressionism and anticipates the genre of the ***novel of consciousness***.

> Examine for a moment an ordinary mind on an ordinary day. The mind receives a myriad impressions – trivial, fantastic, evanescent, or engraved with the sharpness of steel. From all sides they come, an incessant shower of innumerable atoms; and as they fall, as they shape themselves into the life of Monday or Tuesday, the accent falls differently from of old […]. Life is not a series of gig lamps symmetrically arranged; life is a luminous halo, a semi-transparent envelope surrounding us from the beginning of consciousness to the end. Is it not the task of the novelist to convey this varying, this unknown and uncircumscribed spirit, whatever aberration or complexity it may display, with as little mixture of the alien and external as possible? […] Let us record the atoms as they fall upon the mind in the order in which they fall, let us trace the pattern, however disconnected and incoherent in appearance, which each sight or incident scores upon the consciousness. (Woolf, "Modern Fiction" 1925)

8-14. Terms like *stream-of-consciousness novel* and *stream of consciousness art* are commonly used by critics and authors (eg Dorothy Richardson and Ethel Wallace Hawkins).

- ***stream of consciousness*** A generic term for the textual rendering of mental processes, especially by capturing the random, irregular, disjointed, associative and incoherent character of these processes.

Originally coined by the American psychologist William James (the brother of Henry James), *stream of consciousness* refers to the disjointed character of mental processes and the layering and merging of central and peripheral levels of awareness. The term ***stream-of-consciousness novel*** was introduced into literary criticism by May Sinclair (1918) and Ethel Wallace Hawkins (1926). See Cohn (1978) for an excellent introduction, also W. James (1950 [1890], ch9); Humphrey (1954); Steinberg (1973); Chatman (1978, 186-195); Smuda (1981); Toolan (1988, 128).

8-15. The main technique of representing the texture and patterning of a character's stream of consciousness is the interior monologue:

- ***interior monologue*** An extended passage of free direct thought (FDT).

Cohn (1978 distinguished two major subtypes: ***quoted interior monologue*** (an interior monologue embedded in a first- or third-person context) and ***autonomous interior monologue*** (an interior monologue occurring as an independent (non-embedded) text). See Cohn (1978:16ff; 255-65) for the concepts, also the discussion in 3-81. Examples include chapter 18 ("Penelope") of *Ulysses* (Molly's monologue), Schnitzler's stories "Leutnant Gustl" (1900) and "Fräulein Else" (1924), Edouard Dujardin's novella *The Bays Are Sere* (orig. *Les lauriers sont coupés* [1887]). As Dujardin (1931, 118), usually credited for being the inventor of the style, puts it, "The essential innovation introduced by interior monologue consists in the fact that its aim is to invoke the uninterrupted flow of thoughts going through the character's being, as they are born, and in the order they are born, without any explanation of logical sequence and giving the impression of 'raw' experience."

> The waiter. The table. My hat on the stand. Let's take our gloves off; drop them casually on the table; these little things show a man's style. My coat on the stand; I sit down; ouf! I was weary. I'll put my gloves in my coat pockets. Blazing with light, golden, red, with its mirrors, this glitter, what? the restaurant; the restaurant where I am. I was tired. (Dujardin, *The Bays Are Sere*) ***[Interior monologue representing the thoughts of a man entering a restaurant.]***
>
> I think Ill get a bit of fish tomorrow or today is it Friday yes I will with some blancmange

> with black currant jam like long ago not those 2 lb pots of mixed plum and apple from the London and Newcastle Williams and Woods goes twice as far only for the bones . . . (Joyce, *Ulysses*). ***[Thoughts of Molly Bloom lying in bed thinking about tomorrow's supper. The text continues in this manner, without a single full stop or comma for over 40 pages.]***

See Humphrey (1954); Steinberg (1973); Chatman (1978, 178-195); Cohn (1978, 58-98); Cohn and Genette (1992 [1985]); Schmid (2010, ch4) locates the earliest instance of interior monologue in Dostoevsky's *The Double* (1866).

8-16. Earlier forms of long passages of free direct thought are occasionally identified by the term *soliloquy* (originally a term in drama theory and practice, meaning a monologue uttered aloud in solitude:

- ***soliloquy*** An early style of presenting a character's stream of thoughts.

Unlike the modern stream-of-consciousness type of interior monologue, the older soliloquy is characterized "both by a dialogical structure and by a highly rhetorical language" (Orth 2000; cf Fludernik 1996, 147-148). Schmid (2017) traces such rhetorically laundered FDT back to 13C epics such as *Tristan* and *Parzival*. Here is an example quoted by Orth (2000, 441):

> I had thought that women had bene as we men, that is true, faithfull, zealous, constant, but I perceiue they be rather woe vnto men, by their falshood, gelousie, inconstancie. I was halfe perswaded that they were made of the perfection of men, & would be comforters, but now I see thev haue tasted of the infection of the Serpent . . . . The Phisition saythe it is daungerous to minister Phisicke vnto the patient that hath a colde stomacke and a hotte lyuer. least in giuing warmth to the one he inflame the other, so verely it is harde to deale with a woman whose wordes seeme feruent, whose heart is congealed into harde yce, least trusting their outwarde talke, he be betraied with their inwarde trechery. (Lyly, *Euphues* [1578])

8-17. A special case is the ***report of what characters do not know, think, or say***. See Cohn (1978, 21-57); Chatman (1978, 225-226 [report of what characters do not think or say]); Stanzel (1984, ch7.1.8 [on "not knowing that" vs. "not knowing why"]); Palmer 2004 [book-length study on "fictional minds" with a special focus on psycho-narration]. Examples:

> They had married in 1905, almost a quarter of a century before, and were childless because Pilgram had always thought ***[iterative summary, in the following supplemented by indirect content-paraphrase]*** that children would be merely a hindrance to the realization of what had been in his youth a delightfully exciting plan but had now gradually become a dark, passionate obsession. (Nabokov, "The Aurelian")

> All this Gudrun knew in her subconsciousness, not in her mind. (Lawrence, *Women in Love*, qtd Cohn 1978, 49).

> The youth might have taken Baglioni's opinions with many grains of allowance had he known that there was a professional warfare of long continuance between him and Dr. Rappacini (Hawthorne, "Rappacini's Daughter," qtd Chatman 1978, 226) ***[report of what a character does not know].***

8-18. ***Mind style*** is a general term for representing a character's or a narrator's typical patterns of thought and perception . See Fowler (1977, 76); Nischik (1991); Leech and Short (2007, ch6); Semino (2007).

> "*Corto y derecho*," he thought, furling the *muleta*. Short and straight. *Corto y derecho*. (Hemingway, "The Undefeated" 201) ***[A bullfighter thinking in bullfighting terms.]***

> Ah, to be all things to all people, children, husband, employer, friends! It can be done: yes, it can: super woman. (Weldon, "Weekend" 312) ***[The weary exclamation, the***

enumeration of stress factors, and the ironical allusion are typical features of Martha's mind style.]

8-19. Following Hough (1970), the term ***coloring*** is used to refer to the local coloring (also "tainting" or "contamination") of the narrator's style by a character's diction, dialect, sociolect, or idiolect, often serving a comic or ironical purpose. Coloring is most functional when the narrator's and the character's voices are equally distinctive (typically, in the fiction of Austen, Dickens, James, Lawrence, and Mansfield). Hough 1970; Page 1973, ch2; Kenner (1978); McHale 1978, 260-262; Stanzel 1984, 168-184; Fludernik 1993, 334-338; Ferriss 2008; Schmid (2022). In the following examples the figurally colored phrases have been underlined:

(1) Uncle Charles repaired to the outhouse. (Joyce, *A Portrait of the Artist*) ***[The original example used by Kenner (1978, ch2) to illustrate what he termed the* Uncle Charles Principle. *The word "repaired" mimics Uncle Charles's diction.]***

(2) At this foreshadowing of a desolate decease, the wicked old boy would whine and whimper, and would sit shaking himself into the lowest of low spirits, until such time as he could shake himself out of the house and shake another threepennyworth [of rum] into himself. (Dickens, *Our Mutual Friend*)

(3) Ol Abe always felt relaxed and great in his Cadillac and today he felt betteranever (Selby, *Last Exit to Brooklyn*).

9. Case studies

9.1. Homodiegetic dialogue in Alan Sillitoe's "The Fishing Boat Picture"

(In the following, all page number references are to the reprint of Sillitoe's story in *The Penguin Book of Modern British Short Stories*, ed Malcolm Bradbury, London: Penguin, 1988, 135-149. The story was originally published in 1959.)

Like many first-person narratives, Sillitoe's "Fishing-Boat Picture" is a fictional autobiography. Harry is a mature narrator who looks back on his past life. Although he is only fifty-two at the time of writing the story, he feels his life is all but over. Like many first-person narrators, he has become not only older but also wiser. Looking back on his life, he realizes that he made many mistakes, especially in his behavior towards his wife Kathy. The story's first-person narrative situation is uniquely suited for presenting Harry's insights about his wasted life.

The story is told in a straightforwardly chronological manner, and its timeline can be established quite accurately (4-08). The story's action begins with Harry's and Kathy's "walk up Snakey Wood" (135). Kathy leaves Harry after six years, when he is thirty (136); so, at the beginning he must be twenty-four. Since "it's … twenty-eight years since I got married" (135), the narrating-I's current age must be fifty-two. Kathy's weekly visits begin after a ten-year interval (139), when Harry is forty. Kathy's visits continue for six years (147), and when she dies, terminating the primary story line, the experiencing I is forty-six. A number of historical allusions indicate that Harry's and Kathy's final six years are co-extensive with World War II (140, 147). The narrative act itself takes place in 1951, six years after Kathy's death.

The story's action episodes focus on Kathy, picking out their first sexual encounter, the violent quarrel that makes her run away, her return ten years later, her ensuing weekly visits, the repeated pawning of the fishing-boat picture, and her death and funeral. Throughout their relationship, Harry "doesn't get ruffled at anything" (136), and he remains unemotional and indifferent to the point of lethargy. To the younger Harry, marriage means "only that I changed one house and one mother for a different house and a different mother" (136). Although he never sets foot from Nottingham (139), his main idea of a good time is reading books about far-away countries like India (137) and Brazil (139). He cannot even cry at Kathy's funeral ("No such luck," 148). And yet, her ignoble death – in a state of drunkenness she is run over by a lorry – causes a change in him. Now he cannot forget her as he did after she left him (139-140); the only thing he can do is obsessively review the mistakes he made. In the final retrospective epiphany, he realizes three things with devastating clarity: that he loved Kathy but never showed it, that he was

insensitive to her need for emotional involvement and communication, and that her death robbed him of a purpose in life.

The theme of becoming aware of one's own flaws can be treated well in a first-person narrative situation. Unlike the ordinary well-spoken authorial narrator, who cannot himself be present as a character in the story, Harry's working-class voice and diction is a functional and characteristic feature in Sillitoe's story. His self-consciousness in telling the story ("I'd rather not make what I'm going to write look foolish by using dictionary words" 135) and his involvement in the story support the theme of developing self-recognition. In fact, it is the very process of telling his own story that helps Harry to re-evaluate his past life and thoughts. And it is important to Harry not only to tell his story to an anonymous audience but in a sense also to himself. The text's dialogic quality comes out in one of its key passages:

> I was born dead; I keep telling myself. Everybody's dead, I answer. So they are, I maintain, but then most of them never know it like I'm beginning to do, and it's a bloody shame that this has come to me at last when I could least do with it, and when it's too bloody late to get anything but bad from it. (149)

Here Harry explicitly "keeps telling himself," "answer[s]" his own indictment, and "maintain[s]" a position, stressing the self-reflective and auto-therapeutic function of his narrative. In fact, the devastating judgment "I was born dead" takes up Kathy's calling him a "dead-'ed" (137) in the quarrel that leads to their separation. Unfortunately, now that he has learned his lesson, it is "too bloody late".

As a working-class story with occasional snippets of slang and dialect, its references to the characters' ordinary lives, their brief bouts of passion, aggression and violence ("this annoyed me, so I clocked her one" 137), Sillitoe's story is neither sentimental nor overly didactic, nor does it offer an idealized portrayal of working-class characters; it certainly does not allow the reader to feel superior. On the contrary, the protagonist's matter-of-fact account creates a strong sense of empathy, and his reflections on a wasted past and a meaningless future clearly express a general human condition.

9.2. Heterodiegetic multiple focalization in Patrick White's *The Solid Mandala*

The following edited extract from Jahn (*2007*) analyses the focalization structure of Patrick White's novel. Multiple focalization (3-31) is a technique that allows the narrator to juxtapose the colored percepts of the novel's two main characters. Readers, in turn, must continuously assess the evidence using their own mindsets and ultimately come to an overall evaluation and synthesis. Note, the term apperception as used in the following is a synonym for what we are here preferring to call "seeing X as Y" (3-35). Page numbers refer to the Penguin edition of 1969.

White's third-person (heterodiegetic) novel, first published in 1966, is set in Sarsaparilla, near Sidney, Australia. It tells the story of two unmarried twin brothers, Waldo and Arthur Brown, who never parted company in their lives. There are four chapters. Chapter 1 is a prologue in which the two twins, now in their late sixties, slovenly in appearance and failing in health, are seen on their customary morning walk by two ladies on a bus. The narrator's recording device is located very close to the two ladies, registering what they say, perceive, and think. The result is an opportunistic mix of narratorial and internal focalization, often poking fun at the characters:

> The eyes of the two women followed the tunnel which led inward, through the ragged greenery and sudden stench of crushed weeds. You could hide behind a bush if necessary. (14)

Both focalization and tone stand in sharp contrast to what follows in the next two chapters, entitled "Waldo" and "Arthur," respectively. Chapter 2, by far the longest chapter in the book (sixty-three percent of the text), is focalized exclusively through Waldo, while Chapter 3 (twenty-six percent) is focalized exclusively through Arthur. Chapter 4 is a brief epilogue that uses three reflectors for the resolution of the plot.

In chapters 2 and 3 perception and apperception vary with the different mindsets of the respective reflector characters. Conscious of having descended from upper-class English forebears

on his mother's side, Waldo tends to be critical of everything – the Australian environment, the small-town inhabitants, and his brother, whom he considers a half-wit. Entering Waldo's apperceptions and thoughts, the reader soon notices that Waldo's mind is only tangentially concerned with the present because everything he sees in the present reminds him of events that happened in the past – his life with his parents (now long dead), his relations to professional and private acquaintances (among them the girl Dulcie, whom he had once proposed to but was rejected), and growing up and getting old with his brother Arthur. In fact, around eighty percent of Waldo's chapter is concerned with the offline perception produced by his spontaneous recollections. These passages of retrospection constitute what Genette calls "subjective analepses" – reflector flashbacks – and although they get to us in the associative order of Waldo's consciousness, they cumulatively supply the pieces that make up this reflector's biography and personality.

As the psychonarratologists Marisa Bortolussi and Peter Dixon have pointed out, when readers negotiate a reflector-mode text and get access to the working of a reflector's mind, they have a natural inclination to empathize and identify with the character concerned. True as this may be in general terms and under experimental conditions, in White's novel the reader's relationship to Waldo does not remain harmonious or "consonant" for long. Waldo may be intelligent and erudite, but he is also egoistic, narcissistic – at one point we can observe him kissing a mirror – and entirely lacking in humor. His life, as it plays back in his recollections, is a relentless series of professional and personal failures. Symptomatically, the loved girl's features change chameleon-like from attractiveness to ugliness depending on whether Waldo believes she appreciates or scorns him. Because Waldo's outlook on life is so plainly warped and self-deceptive, the reader tends to laugh, with the narrator, at Waldo's unlikely representations and overblown literary aspirations. Referring to one of his "literary notes," Waldo reflects that "[n]ot even Goethe, a disagreeable, egotistical man and overrated writer, whom he had always detested, could have equaled Waldo's *dazzled morning moon*" (130). At the same time the reader is also liminally aware that beneath the text's dissonant humor there lies a serious personality disorder which poses a gathering threat to the character's environment in general, and to his brother in particular. As Waldo's apperceptions become ever more schizoid and addled with hate, a minor frustration finally precipitates an explosive outburst. Turning to his brother with the intention to strangle him, Waldo perceives Arthur's face as "Opening. Coming apart. Falling" (214). Abruptly, Chapter 2 terminates at this point.

By this time, the reader has long suspected that Arthur is not the idiot Waldo takes him to be, and Chapter 3, now focalized entirely through Arthur, gives us an opportunity to see what he is really like. Arthur's mind now serves as the balancing filter through which many of the episodes earlier remembered by Waldo are revisited, and this produces the juxtaposition of contrary apperceptions characteristic of multiple focalization. In a sense, Arthur's outlook on life is as exotic as Waldo's because Arthur is indeed retarded intellectually and deviant behaviorally. But unlike Waldo, Arthur has many redeeming qualities: he has a head for figures, he is practical-minded and entrusted with taking care of everyday chores, and most of the time he has a just sense of what not to do. Above all, what makes him deviant also makes him endearing: a "man and child" (311), he retains a child-like simple-mindedness, inquisitiveness, impulsiveness, perceptiveness, and creativeness. In the story world itself, sensitive people are as attracted to Arthur as they are repelled by Waldo. And while one laughs at Waldo's distortions, Arthur's strange visions are often oddly appropriate:

> Suddenly Arthur burst into tears because he saw that Waldo was what the books referred to as a lost soul. He, too, for that matter, was lost. Although he might hold Waldo in his arms, he could never give out from his soul enough of that love which was there to give. So his brother remained cold and dry. (284)

Significantly, it is Arthur who sees the mystic pattern of the mandala, which symbolizes the harmonious union or mingling of opposites, in the speckled "taws" (marbles) which he likes to give to people he is fond of. Naturally, critics have also found the mandala pattern in the novel's bonding of the two unlike brothers.

Waldo's and Arthur's chapters differ in one important technical detail. While Waldo's flashbacks are linked to the current here and now, Arthur's chapter represents a single long stretch of subjective analepsis without any clue as to when or in what situation it unfolds. Compelled to fill

in the gap, the reader is likely to fall back on the not entirely unusual motif of a dying (or possibly even dead) man's summary recollection of his life (as used, for instance, in the film *American Beauty* or in Stevie Smith's poem "Not waving but drowning"; see Haller 2019 on the topic of "postmortal narration"). Naturally, it is an assumption that charges the text with emotion and tragedy – and leads to a considerable surprise when it turns out to be false. As the chapter recounts Waldo's mortal attack from Arthur's point of view we learn that it is *Waldo* who dies – of a stroke brought on by the exertion of trying to kill his brother. In Chapter 4, after Waldo's body has been found by a neighbor, Arthur accuses himself of having killed Waldo, but it is clear that what he means is that he was unable to prevent Waldo from killing himself. At the end of the novel, as Arthur is sent to a mental home, we have a double tragedy on our hands, pitying Arthur for failing to save Waldo, and finally also pitying Waldo because Arthur has taught us how to do so.

The foregoing thumbnail sketch of *The Solid Mandala* illustrates how strategic choices in focalization determine this novel's structure especially in its two contrapuntal chapters, characterization (opening up several viewpoints on the characters), and its surprise outcome. Above all, the novel's multiple focalization motivates the reader to re-read the text in order to compare the many twice-told events, to reconstrue the personalities of the characters, and to appreciate the many leitmotifs and contrasts. Any reader interested in an in-depth unraveling of these features might wish to consult Gordon Collier's 500-page study of the novel, which is a masterpiece of scholarly analysis and narratological criticism (Collier 1992b). Collier excellently demonstrates the breadth and variety of reflector-mode narration, especially when grounded in oppositional focalizers such as Waldo and Arthur.

9.3. Immersion with a vengeance: Siegfried's last tale

The following edited extract was originally published in an essay entitled "'Awake! Open your eyes!' The Cognitive Logic of External and Internal Stories" (Jahn 2003). In it, I investigated how past events and stories are stored as "internal" stories in memory and recalled, rearranged, and "externalized" again for public telling. Siegfried's last tale highlights a rather unique first-person focalization scenario. Ostensibly telling a story of personal experience Siegfried's past story-here-and-now suddenly becomes the teller's present here-and-now – a lucky find for the narratologist, but a fatal turn for the hero.

All of Richard Wagner's operas run on elaborate plots, and the *Ring* tetralogy, which weaves and binds the fates of generations, races, and worlds, has the most tightly knitted plot of all. Anything worth mentioning is directly or indirectly related to everything else. Tightly knitted plots encourage storytelling, and story-telling takes up much of the opera's time and action. Often, the second-order stories told by the characters merely serve the standard function of exposition and reminder, sometimes they trigger major courses of action, and occasionally they stand as central moments of action itself. Act III, Scene 2 of *Götterdämmerung* is one the latter cases, but it begins harmlessly enough with a story told for the manifest purpose of entertaining and distracting King Gunther, who is going through a marital crisis. Here is the twist: in a moment, the story will get out of hand, and its teller will be killed for telling it. These are storytelling circumstances of a special nature, and they are compounded by the fact that the teller will never return to the original level of online mentation from which he set out.

Though not a born storyteller, Siegfried's heroic standing assures access to a rich store of tellable stories of personal experience, and it needs only a little priming to set him off. "People say you understand the language of birds," Hagen, his secret enemy, prompts him, and, like many storytellers, Siegfried begins not *in medias res* but by going back a bit, knowing well enough that while one thing leads to another it is, in turn, caused by something that happened earlier. He therefore begins by relating how he once forged himself a sword; how he used it to kill a dragon; how he found the dragon's hoard, taking from it an invisibility hood and, of course, the one magical ring that gives you the power to rule the world, but always only at a cost (why does this sound familiar?); how, bathing in the dragon's blood he became invulnerable (almost!) to external weapons; how, tasting the dragon's blood, he began to comprehend the language of birds, and how, understanding what a little bird told him, he was able to dispose of an evil dwarf who was out to poison him. Yet there is a complication to Siegfried's storytelling, a complication of which the audience knows all and the character knows nothing. Despite the fact that everything is tied up with everything else, Siegfried's recall is not total because he has earlier been tricked into

consuming a magic drink that made him forget one particular episode, namely, how our beamish boy met a girl. Now he is offered another drink, and this time it is the counterpotion "to refresh your memory," as Hagen duplicitously puts it, already anticipating the likely consequence. Music pauses dramatically; potion takes effect. Suddenly, Siegfried finds himself narrating a sequel which he, only a moment ago, had not known to have existed – how the little bird led him to a mountain encircled by a wall of fire. How, overcoming the wall of fire he found a sleeping warrior woman going by the name of Brünnhilde. How he kissed her, as the rules of folklore demand that he do, and how she woke up and smiled at him.

What makes the story gripping at this point is the fact that the sudden re-experience of the forgotten incident entirely floods the narrator's consciousness, blocking out all real-world circumstances – particularly the fact that he is at present engaged to be married to another woman, has indeed sworn that there never was another woman in his life. In a word, telling this story perjures the teller and gives Hagen the political legitimacy to run a spear through the one chink in the hero's armor. Mortally wounded, and already beyond reaction or defense, Siegfried continues telling the story, transposing to an offline wish-fulfillment fantasy that replays the sleeping-beauty scene. These are his final words (translation L. Salter):

Brünnhilde,	Brünnhilde,
heilige Braut!	holy bride!
Wach auf! Öffne dein Auge!	Awake! Open your eyes!
Wer verschloß dich	Who sank you
wieder in Schlaf?	again in sleep?
Wer band dich in Schlummer so bang?	Who shackled you in uneasy slumber?
Der Wecker kam;	Your wakener came
er küsst dich wach,	and kissed you awake,
und aber der Braut	and again broke
bricht er die Bande	the bride's bondage:
da lacht ihm Brünnhildes Lust!	Brünnhilde laughed in delight at him!
Ach, dieses Auge,	Ah, her eyes,
ewig nun offen!	forever open!
Ach, dieses Atems	Ah, the blissful stirring
wonniges Wehen!	of her breath!
Süßes Vergehen,	Sweet passing,
seliges Grauen –	blessed terror –
Brünnhild bietet mir – Gruß!	Brünnhilde bids me welcome!

Climaxing in lustful oxymorons, Siegfried meets his fate. It is a strange end to a none-too-bright character, a hero who was never more than a pawn in the power games played by agents of superior knowledge, and a figure absurdly defenseless against the malice of magic potions. Still, one must grant there are worse things than to die remembering the best moment of your life, *and* believing it to have come round a second time, *and* telling the story of it, too. Not to mention the fact that the composer salutes his hero's exitus with a grand funeral march and a triumphant recall of his personal leitmotif [Georg Solti video clip]. Clinging to the detail of the scene, the speaker's language reverberates with waves of emotion. Although manifestly engaged in the mode of retrospective first-person narration, the teller makes the striking mistake of counting the re-lived experience as a second occurrence of the event. "Who sank you *again* in sleep," he asks (both himself and his imaginatively present bride), and then continues to tell himself and his audience that he must *again* break "the bride's bondage" (actually "the bride" is now Gunther's wife, but no matter). The discourse's conflicting impulses now not only affect the deictics of pronouns and referring expressions but also the tenses. The shift from past to present (line 8 of the original text; line 18 in the translation) can be understood as a perfectly regular shift into the historical present, used in the standard function of foregrounding a significant moment. On the other hand, the present tense is clearly also the natural mode of directly reported experience, of what Cohn calls "simultaneous narration" (3-19). Aware as he is of continuing his tale, the speaker's discourse attempts to negotiate a twofold orientation: of directly *addressing* Brünnhilde in the second person and *telling about* her in the third. The speaker himself is past being able to tell the difference between what is real and what is imaginary, nor, indeed, does he care, whereas the audience, supposing it gets the deictic signals right, knows that Brünnhilde's second awakening is a

perception produced and reinforced by the teller's own narrative. Baffling as it is, Siegfried's last speech teaches us a prime lesson about the nature and machinery of immersive storytelling.

9.4. Conversational storytelling in Billy Wilder's *The Apartment*

Here is another case analysis, also copied from Jahn (2003). In it, I made an attempt to analyze the dialogic relationship between two second-order stories (2-20) as told in a movie.

In *Tell Me a Story*, Roger Schank presents a fine example of intelligent conversational storytelling. Schank is mainly interested in how a story told by speaker A reminds hearer B of a story of his or her own, and how speaker B's subsequent narrative response pursues certain pragmatic goals. In the scene from Wilder's film, Bud Baxter (Jack Lemmon) has barely managed to save Fran Kubelik (Shirley McLaine) from committing suicide. Earlier, she had told him the story of her "talent for falling in love with the wrong guy in the wrong place at the wrong time." This reminds Bud of a story in which *he* is the protagonist:

> I know how you feel, Miss Kubelik. You think it's the end of the world – but it's not, really. I went through exactly the same thing myself. Well maybe not exactly – I tried to do it with a gun. She was the wife of my best friend, and I was mad for her. But I knew it was hopeless – so I decided to end it all. I went to a pawnshop and bought a .45 automatic, and drove up to Eden Park – do you know Cincinnati? Anyway, I parked the car and loaded the gun – well, you read in the papers all the time that people shoot themselves, but believe me, it's not that easy – I mean, how do you do it? Here or here or here [with cocked finger, he points to his temple, mouth, and chest]. You know where I finally shot myself? [Indicates knee.] Here. While I was sitting there, trying to make my mind up, a cop stuck his head in the car, because I was illegally parked – so I started to hide the gun under the seat and it went off – pow! Took me a year before I could bend my knee – but I got over the girl in three weeks. She still lives in Cincinnati, has four kids, gained twenty pounds – she – Here's the fruitcake. [Shows it to her under Christmas tree.] And you want to see my knee? (qtd Schank 1995, 42-43)

Being reminded of something, Schank argues, is like searching a database of indexes to stories in memory. Whether something reminds one of a story partly depends on the quality of the index which was generated when the story was originally prepared for possible recall. However, as Schank points out, being able to access an efficient relational database is only one aspect of intelligent storytelling. Equally important is how a speaker manages to adapt a story to the pragmatic needs of the situation. Bud Baxter excels in this area. One of his main "YOU-goals" is to get across a piece of sensible advice – namely, that drastic action isn't always the proper cure. In addition to this, Bud also pursues a number of less obvious "ME-goals" – from the simple goal of "getting attention," which usually attends all story-telling (Schank 1995, 43), to the more specific goals of establishing himself as a humorous person, an ideal confidant, and a better candidate than the married men in Ms. Kubelik's life.

Ms. Kubelik's own story, which precedes Bud's story and in which she confesses to her fatal attraction to married men, is just as significant an example of conversational storytelling because it lets her hearer get a glimpse of the psychological dilemma she is caught up in. While Schank mainly focuses on the cathartic intention of her confession, the story also presents a "life script" (this is Eric Berne's term, not to be confused with Schank's own script concept). This script contains a sequence of roles and action patterns which Fran Kubelik feels compelled to enact and repeat until it either works out in a happy ending or climaxes in a catastrophe (the latter is the more likely outcome). The existential plight created by malign scripts is well understood in Bernean transactional psychology, and it is no coincidence, perhaps, that it frequently reoccurs as a trait of character in Wilder's films. To bring out the scripted nature of obsessive behavior it is standard procedure for the transactional therapist to inquire after the patient's favorite fairy tale (Berne 1973, 435). To which Ms. Kubelik might well reply, Beauty and the Beast (cp Berne's note on the tale, 1973, 47). The tale's script, as internalized by Ms. Kubelik, might instruct her to look out for, and have an affair with, a disguised Prince. Sooner or later, the Prince transforms into a married beast and abandons her, happy endings being less frequent in real life than in fairy tales. Eventually, not having the strength to repeat the familiar moves of the script, she will try to

commit suicide, as she does in the film. Potent as Ms. Kubelik's script is, it is the perfect cue for Bud Baxter's intelligent narrative response, which reveals the script's flaws and at the same time suggests a viable alternative.

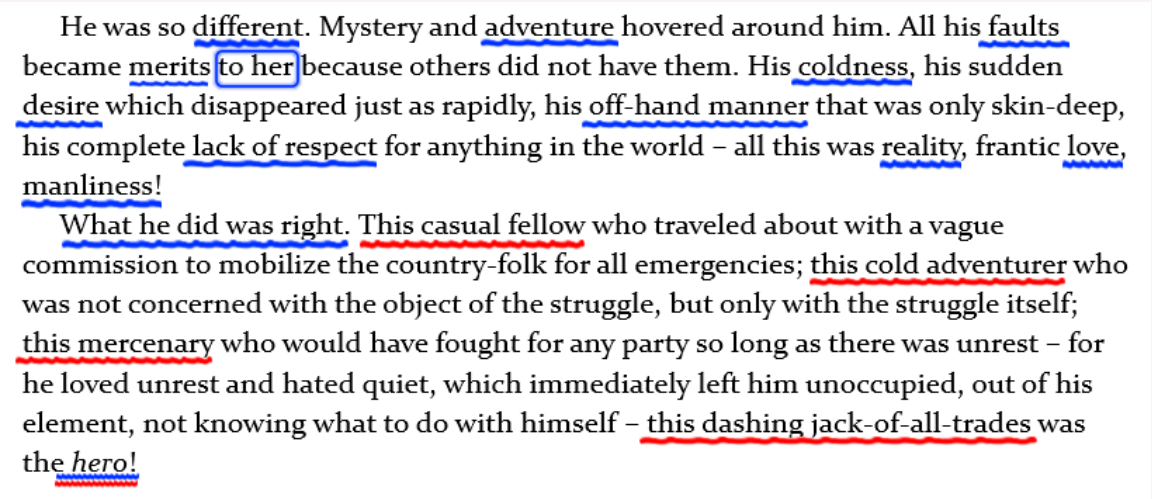
9.5. Cognitive dissonance in Hans Fallada's *Wolf Among Wolves* (1937)

The following close reading summarizes findings originally presented in a four-part German language video on perspectivized narration in novel and film (Jahn 2021: https://youtu.be/Fxmeb6tuli0).

Wolf Among Wolves is a modernist novel set in 1923, a time when post-World-War-I Germany lies in the throes of a runaway hyperinflation. In the following textual snippet, we witness the perceptions and thoughts of a fifteen-year-old girl named Violet, who has fallen in love with an ex-soldier known under the alias of Leutnant Fritz, a member of a freecorps militia planning a coup against the Weimar government. The structure of the passage is clear enough: the first paragraph presents Violet's reflections on her lover, and in the second paragraph the narrator articulates his views on what he believes are the girl's disastrous misjudgments. Here is the text in its original form, some annotations will be added below.

> He was so different. Mystery and adventure hovered around him. All his faults became merits to her because others did not have them. His coldness, his sudden desire which disappeared just as rapidly, his off-hand manner that was only skin-deep, his complete lack of respect for anything in the world – all this was reality, frantic love, manliness!
>
> What he did was right. This casual fellow who traveled about with a vague commission to mobilize the country-folk for all emergencies; this cold adventurer who was not concerned with the object of the struggle, but only with the struggle itself; this mercenary who would have fought for any party so long as there was unrest – for he loved unrest and hated quiet, which immediately left him unoccupied, out of his element, not knowing what to do with himself – this dashing jack-of-all-trades was the *hero*! (ch7.5, 280)

My main aim here is to disentangle the complex focalization of the passage by accessing the toolbox of constructivist focalization together with Gilles Fauconnier's (1994) concept of mental spaces (ch3.5.3). To highlight the progression of the passage, I will use blue underlining to set off the reflector's reasoning and red underlining to highlight the essential epithets used in the narrator's comment. The circled *space-builder* "to her" in line 2 explicitly draws attention to the fact that we are moving within the boundaries of the reflector's mental space.


He was so different. Mystery and adventure hovered around him. All his faults
became merits to her because others did not have them. His coldness, his sudden
desire which disappeared just as rapidly, his off-hand manner that was only skin-deep,
his complete lack of respect for anything in the world – all this was reality, frantic love,
manliness!

What he did was right. This casual fellow who traveled about with a vague
commission to mobilize the country-folk for all emergencies; this cold adventurer who
was not concerned with the object of the struggle, but only with the struggle itself;
this mercenary who would have fought for any party so long as there was unrest – for
he loved unrest and hated quiet, which immediately left him unoccupied, out of his
element, not knowing what to do with himself – this dashing jack-of-all-trades was
the *hero*!

The two paragraphs show two starkly divergent characterizations of Violet's lover. Violet's mental space contains a series of epithets that would carry a negative valuation in ordinary circumstances; here, however, they are felt to be positively valanced in the light of Fritz's being perceived as "different" – and they *are* different when contrasting them, as Violet does, to a second mental space, the value space of landed gentry society to which she belongs and in which the identical concepts are judged as generally suspect or inappropriate. In the second paragraph, a third space

is created by the narrator's comment, which sharply attacks both characters: the Leutnant for a whole list of defects, and Violet for her blinkeredness. The narrator's critique culminates in the ironic repetition of the word "hero," a designation that is as false to the narrator as it is true to the reflector. We can represent the three competing spaces as separate bubbles that are consistent within themselves but incompatible or even antithetical when rubbed against each other.

As readers we now face the task of having to balance these mental spaces and of judging who is in the right, the lovestruck Violet in her unconditional admiration of the Leutnant, or the narrator in his biting critique.

It looks like an easy exercise. Obviously, Violet is young, inexperienced, and very likely blinded by love. The narrator seems perceptive, accurate, and insightful, especially since his judgment is bolstered by superior factual knowledge and moral authority. However, both voice and rhetoric suggest a personal slant, and we generally know that a narrator's perception is subject to mindset conditioning, too (1-07). We are external observers ourselves and do not necessarily have to accept everything a heterodiegetic narrator says as pure and unadulterated truth. As a matter of fact, it is quite possible to sympathize with Violet's outlook on life in general and her lover in particular, ill-advised, and catastrophic in the consequences as her convictions turn out to be. For one thing, the reflector-mode part of the passage strongly prompts us to empathize with her and possibly agree with her reasoning. Second, we hardly need reminding that Western culture values love highly, often beyond anything else, especially when running up against norms of class, which happens to be the case here. And third, we usually applaud challenging traditions and hierarchies, and Violet's deliberate appreciation of the Leutnant's otherness might well be seen as an attempt to overcome outdated social barriers.

If it is possible to argue the case for Violet, then maybe it can also be argued for Leutnant Fritz. At this point, the narrator looks down at him in a curious mixture of vexation and despair. And yet his summary characterization paints a partial picture only. Despite all his faults, the Leutnant is a fascinating figure, and his action potential is one of the driving forces behind the novel's plot. Small wonder, then, that the narrator lets him become a major reflector figure over long stretches of text, and it is not surprising either that the closer we get to his feelings and thoughts the more redeeming features we see, and the more we tend to forgive him his faults. In the end, when he is driven into committing suicide, narrator and readers are fully prepared to accept that he is just as "Lost and Forsaken" (thus the chapter heading) as the rest of the characters and, presumably, the rest of humanity.

9.6. The museum scene in Hitchcock's *Vertigo*

The following miniature case study tries to theorize and interpret a very small segment of Alfred Hitchcock's classic film. Before reading this, please take a look at the original clip, either by searching "museum scene Vertigo" on the net or by calling up my video tutorial on narratology (Jahn 2023: youtu.be/ClztFm22l_4).

Two characters are present in the museum scene: ex-detective Scottie (James Stewart) and Madeleine (Kim Novak), supposedly the wife of a friend. Scottie has accepted the unpaid assignment of shadowing Madeleine and finding out why she exhibits some strangely erratic behavior. Naturally, he has fallen in love with her. In the clipped excerpt, Scottie observes Madeleine as she visits the art gallery of the Legion of Honor Palace in San Francisco. The ten frames of the storyboard below show the main shots of the sequence; the actual duration of the clip is forty seconds.

Let us go through the frames one by one, adding occasional snippets from the film script (marked in italics; the full screenplay can be downloaded from the International Movie Script Database). In frame 1, Scottie stands at the gallery entrance watching Madeleine as she sits on a bench looking at one of the pictures. Frame 2 is a *medium shot* of Scottie's upper torso, his face betraying his intense interest. Frame 3 is a matching POV shot that follows Scottie's sightline *looking into the picture gallery, soft lit from the top, completely empty, save for Madeleine. She is seated on the small wooden bench. Her head is tilted in the upward direction, gazing at a large portrait.* Frame 4 is another medium shot of Scottie as he *watches her for a moment, then* – frame 5 – *moves into the gallery and pretends to examine one of the pictures. Finally, Scottie cautiously turns around and looks across the room.* In frame 6, from *his viewpoint, we get a complete picture of what he sees: Madeleine seated on the wooden bench, with the bouquet of flowers lying on it, looking at a portrait of a beautiful blonde woman, dressed in 19th century costume.* Frame 7 is another medium shot, indicating that something else is catching Scottie's attention. In a closeup, frame 8 shows that it is the bouquet of flowers. The *camera slowly pans up* in frame 9 *and zooms in to a part of the picture. It comes to rest on an identical bouquet held by the lady in the painting.* Frame 10 is another medium shot of Scottie, looking puzzled. (When the scene continues past frame 10, Scottie will notice further details that seem to establish a link between Madeleine and the lady in the painting.)

Most film theorists are happy to accept that a film can "tell a story" and that filmic storytelling, just like verbal storytelling, is based on a framework of communication that, following Shannon and Weaver's (1949) classical model, involves a "sender," a "signal," and a "receiver." Obviously enough, given this framework, the film itself is the "signal" and the film's viewers are the "receivers." But who (or what) is the film's "sender"? The question seems trivial, but it may well be the most puzzling and controversial question in all of film theory. Many candidates have been suggested, among them, of course, the director, with or without his or her team of collaborators (actors, scriptwriters, cinematographers, producers, music composers, editors, and many others – and why not all that roll by in the credits). It is understandable then that, for practical reasons many theorists are looking for an abstract entity that can act as a single sender, as a creative origin and source of responsibility for all of a film's data, meanings, and effects. Among the many candidates proposed for this role one can find an "image maker," a "monstrator," a "cinematic

narrator," an "implied narrator," and a "hypothetical film maker," to mention only a few. My own preference (Jahn 2021b) is a de-personalized sender instance called the "filmic composition device" (FCD). Allow me to briefly defend the concept here.

Starting out from the most basic level of film phenomenology, the viewer-receiver faces a multimedial presentation executed by a technical device such as a projector or a media player. The material substance of film itself is a stream of transient visual and auditory data. To keep track of the complex data aggregate – and more importantly, to make sense of it – viewers interpret it as a purposeful *composition*. Basically, then, the filmic sender is just a filmic composition device. A narrative film, in particular, is an emergent perspectivized representation of a story world containing characters and causally related events. Viewers successfully process a film when they recognize the "narrative program" that the FCD appears to pursue. On the very simplest level, this program may just consist in compiling a series of unedited shots as produced by a CCTV camera. On a more sophisticated level, viewers interpret the data by applying the cognitive frames and schemas they are familiar with, including those provided by culturally acquired plots and genres. More sophisticated still are "mind-benders" and "perturbatory films" (Johnson 2006, Schlickers and Toro 2018), which present intentionally puzzling data structures that confront viewers with seemingly unresolvable inconsistencies and logical conundrums. These clearly can no longer be naturalized easily, and yet the very failure of conventional schemas may convey a valid and valuable message. Generally, viewers participate in the communicative process by building mental models that support (and explain) the film's composition. In reception there is neither time nor need to decide which real or hypothetical agent, let alone which team of agents, may have been responsible for designing this or that part of the FCD's program.

In *Vertigo's* museum scene, the FCD presents alternating external views of Scottie and direct POV shots showing his field of vision. From a narratological vantage, this is a reflector-mode presentation, whose effect on viewers is very much like the effect readers experience when reading a figural narrative (ch3.3.3) – but see Jost (2004) for the intricacies and pitfalls of such analogies. Frames 2, 4, 7, and 10 are "gaze shots" refreshing the viewer's awareness of Scottie's spatial presence and orientation; at the same time, they are also "reaction shots" establishing a continuity link to the POV shots that represent his perception (see Branigan 1984, chs4-5, 1992, chs5-6 on the logic of subjective shot sequences). Here, frame 6 stands out as a pivotal part of the composition because it pictures, self-referentially as it were, someone in the act of perceiving someone else's act of perception. Just as Scottie tries to transpose to Madeleine's point of view in his attempt to fathom her mind, the viewers transpose to Scottie's point of view to interpret the situation as it must appear to him given his current state of mind. The persistent, pulsating musical theme that plays throughout the scene further intensifies the mood of dark mystery that is felt by reflector and audience alike. Foremost in Scottie's mind are the questions we are asking ourselves: why is Madeleine behaving so enigmatically, why is she interested in that portrait, what is the relevance of the flowers? Much later the FCD lets Madeleine (or Judy, as she is then called) become a reflector herself, and it is only then that we (but not Scottie) learn that it was all a charade of deceptive playacting. It is the gut reaction of transposition that ensures the success of the deception, and both Scottie and the viewers are its temporary victims. One of Hitchcock's often-quoted comments was that he enjoyed "playing" his audience "like a piano".[19] Actually, in this scene there are two players – Madeleine who plays Scottie, and the director (or I would say, the FCD), who plays the recipients.

[19] Thus quoted without identification of source in the International Movie Database (IMDb Hitchcock), also in this excellent video essay. In Truffaut (1985, 269), Hitchcock says: "*Psycho* has a very interesting construction and that game with the audience was fascinating. I was directing the viewers. You might say I was playing them, like an organ".

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