The Fictions of Language and the Languages of Fiction

The linguistic representation of speech and consciousness

Monika Fludernik

London and New York

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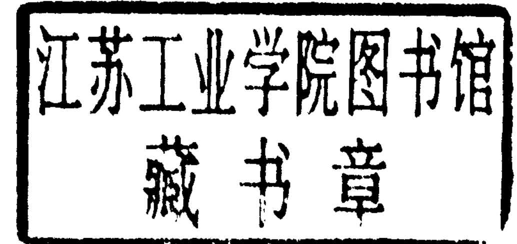

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My father is exchanging forbidden words with Klein-Anna. I do not need to leave my room to know. *We*, he is saying to her, *we two*; and the word reverberates in the air between them. *Now: come with me now*, he is saying to her. There are few enough words true, rock-hard enough to build a life on, and these he is destroying. He believes that he and she can choose their words and make a private language, with an *I* and *you* and *here* and *now* of their own. But there can be no private language. Their intimate *you* is my *you* too. Whatever they may say to each other, even in the closest dead of night, they say in common words, unless they gibber like apes. How can I speak to Hendrik as before when they corrupt my speech? How do I speak to them?

J.M. Coetzee, *In the Heart of the Country*, §74

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Preface

The present volume grew out of a long-standing interest in narrative theory and in the central problematic of speech and thought representation in fiction. Initially I was planning to re-analyse the bases of Ann Banfield's speakerless sentence theory as presented most fully in her 1982 classic study *Unspeakable Sentences. Narration and Representation in the Language of Fiction*, and, possibly, to refute it. Despite its very obvious advance over competing theories, Banfield's model at the same time involved itself in some insoluble contradictions when applied to pre-late-nineteenth-century texts, particularly those of the classic omniscient narrator tradition. Banfield's linguistically based theses directly undermined the theoretical model of communicative levels and instances that is generally accepted by narratologists from Genette to Stanzel, Bal, Chatman or Rimmon-Kenan. It therefore became an imperative task to take Banfield's linguistics very seriously indeed in order to ascertain the validity of her model as a basis for restructuring narratology. Alternatively, if Banfield's propositions could be demonstrated to have more limited applicability – as has indeed turned out to be the case – the question would still remain of how far narrative modes of speech and thought representation could actually be accounted for within a consistent narrative paradigm.

In the course of my research into these initial questions I have come to use a variety of linguistic approaches beyond the standard Chomskyan paradigm on which Banfield's study is predicated. In particular I have profited from more recent pragmatic analyses of syntactic phenomena. In addition to pragmatics, discourse analysis has provided a crucial reorientation of the original perspectives of the project, allowing me to deal with speech and thought representation in *language* rather than in (merely) narrative, and literary fiction at that. In the wake of these linguistic influences the more purely narratological perspectives receded into the background and gave way to some searching questions about the place of oral or naturally occurring narrative in the discipline called narratology, which has so far been almost exclusively concerned with the literary canon and popular *writing*. In spite of numerous attempts to deal with narrative as a cognitive structure, oral storytelling has largely been ignored in the rush towards locating a narrative deep structure in painting, theatre or film. To posit the question of what the specific characteristics of *written* narrative consist in and to determine what

remains at the core of narrativity once the written medium is replaced by an *oral* one consequently became an important research project in its own right and developed into a second separate study. The present *The Fictions of Language and the Languages of Fiction* therefore concentrates on the more linguistic questions of speech and thought representation, although I have never lost sight of the framing narrative issues. The narratological implications of my conclusions in this volume will then be treated separately in *Towards a 'Natural' Narratology*, where I will directly address the issue of orality in narratology, as well as considering (postmodernist) experimental writing.

The present study was originally designed mainly for literary scholars, particularly narratologists, but it should also be of interest to the pragmatically oriented linguist. Indeed, the book centrally attempts to mediate between literature and linguistics, in the belief that neither discipline can do without the other. In speech and thought representation, in the choice of narrative tense and in much that concerns the substance of literature, the medium language is demonstrably affected by the meaning effects and generic uses to which it has been put, and it in turn crucially structures and determines the substance of literature. If former linguistic approaches to literature have exposed themselves to ridicule, such early failings have recently been compensated for by the new stylistics and by the successful pragmatic approach to literature. My own work develops this line of inquiry, positing semiotically relevant textual frame categories within which linguistically definable phenomena can be demonstrated to operate in a significant manner. One such textual category is narrative, and one significant phenomenon speech and thought representation. More prosaically, *The Fictions of Language and the Languages of Fiction* is conceived as a kind of handbook on free indirect discourse and related phenomena. There is a need in the English market for an update on this topic that incorporates German contributions to the issue. I have attempted to provide a thorough-going description of free indirect discourse, and particularly a discussion of the theoretical problem areas which this device has revealed within the standard paradigms in linguistics and narratology. Additionally, a comprehensive bibliography is supplied that may prove useful to enthusiasts who want to delve more deeply still. Nevertheless the present volume cannot claim to be a definitive study of free indirect discourse or speech and thought representation because the theoretical analyses presented in it have not, as their most important effect, closed the issue but have *opened up* new lines of inquiry, which can now be pursued by scholars in a number of different disciplines. I hope that *The Fictions of Language and the Languages of Fiction* may succeed in bringing together at one table the comparatist, the literary critic, the linguist and the literary philologist in their shared concern for the makings of that elusive complex of meaning effects that we are used to name, vaguely, *narrative aesthetics*.

Acknowledgements

This book owes its existence both to the extensive financial support that I have received and to the encouragement and help of several of my colleagues and friends.

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Of the many scholars who have accompanied me through the difficulties of a complex and ever-extending project I would like to single out, above all, my long-time 'narratological mother', Dorrit Cohn. Her continuing interest in my research and her comments on work in progress together with her personal friendship have perhaps helped me most to see this study through to its successful completion. I also owe deep gratitude to Susumu Kuno, who has been extremely helpful, kind and patient, and at several crucial junctures reassured me that I could indeed 'do' linguistics even though I have had no professional training in that field.

I would like to take this opportunity to express my appreciation and thanks to all those who over the years have helped me most by their teaching, encouragement, friendship and respect. I will always be in debt to Professor

F.K. Stanzel, my doctoral thesis supervisor, for the living example of an excellent scholar, teacher and employer. Professor Hermann Mittelberger has taught me invaluable lessons in the true concern for one's students' welfare besides strengthening my fascination with Proto-Indo-European. I also fondly remember the friendship and kindness of the late Richard Ellmann whose interest in my work and stimulating feedback sustained me during a year at Oxford while I was working on my dissertation. I would also like to thank Professor Anna Davies for her lasting friendship and for her hospitality during my repeated sojourns at Oxford. My gratitude extends, furthermore, to Francis Warner, whose lectures in Oxford in 1977–78 first introduced me to some of my favourite authors and became an unforgettable model of superb teaching. Barbara Johnson's lectures and seminars have likewise left a deep impression on me, and her example of a lucid, sophisticated and uniquely feminine teaching style has provided me with an invaluable role model.

Among those on whom I have for many years relied for personal and academic and support, I would like to single out Dr Ferdinand and Dr Eva Richter, as well as my scholar colleagues Sonja Bašić, Howard Caygill, Wallace Chafe, Marcel Cornis-Pope, Willie van Peer, Marie-Laure Ryan and Haruhiko Yamaguchi. They have provided stimulating critical response to work in progress. I am also indebted to my friends Maria Ascher and Susanne Klingenstein who have given me much emotional support and kept me supplied with books and photocopies from across the Atlantic. This is the opportunity, moreover, to voice my general appreciation for the help and encouragement that I have received from my academic supervisors and colleagues in Vienna and from the official referees of my work in the habilitation committee, Professors Robert-Alain de Beaugrande, Brian McHale and Waldemar Zacharasiewicz. My particular thanks go to Herbert Schendl and Franz Wöhrer and to my women colleagues in the department, notably to Grete Rubik and Brigitte Tranker, for their unceasing kindness and solidarity. My greatest debt of all, however, is to my mother without whose continuing love, trust and encouragement as well as financial support this book might never have been completed. It is to her that I dedicate this volume.

Finally, I would like to tender a grateful thank-you to Katrin Križ and Ulrike Beck who offered me invaluable typing assistance when I was suffering from tendinitis. Help with the manuscript and index has also come from Claus Inanger, Beatrix Gnan and Brigitte Wöhrer.

Grateful acknowledgement is made to Mrs Laura Huxley and Chatto & Windus for permission to quote from Aldous Huxley's *After Many a Summer*, and to Mr Bruce C. Bolinger for the permission to reproduce as Figure 2 (p. 425) Dwight Bolinger's diagram 'A hypothetical continuum of propositional and automatic speech modes and their properties' (Bolinger 1976).

Abbreviations and symbols

AP	Adverbial phrase
AUX	'Auxiliary': syntactic category in the deep structure of Chomsky's (1965) phrase structure rules, can be realized as an auxiliary verb or, in simple finite verb phrases, by the tense, person and mood markings
COMP	Complementizer (node)
CP	Complementizer phrase
DD	Direct discourse, i.e. direct speech
E	Expression (node) (Banfield 1982)
EST	Extended Standard Theory (Chomsky 1965)
EXCLAM	Exclamation constituent
FID	Free indirect discourse
ID	Indirect discourse
iM	interior monologue
I-movement	Subject–verb inversion, treated as a separate transformation
IP	Inflectional phrase
NEG-transformation	Transformation transforming affirmative deep structure sentences into negated surface structures
NOW	Deictics relating to the deictic centre
NP	Noun phrase
NYRB	*New York Review of Books*
PP	Participial phrase
PsN	Psycho-narration
R-expressions	Referring expressions are non-pronominal, non-anaphorical referential noun phrases such as proper names and full NPs (Chomsky 1986b: 101; Kuno 1987: 59)
RST	Represented Speech and Thought (Banfield)
S	Sentence; S-node
S′	S-bar (node)
S″	S-double-bar (node)
SELF	(Banfield's) Deictic centre of consciousness
SoT	Sequence of tenses

TG	Transformational Grammar
VP	Verb phrase
WH-movement	Transformation that moves interrogative pronominals (which, in English, typically start with /wh/) to clause-initial position (defined differently by various versions of TG); WH-movement applies cyclically
*	Asterisk marks unacceptability of subsequent word, phrase or sentence; the unacceptability is mostly syntactic, but sometimes pragmatic or semantic
?	Question mark *before* certain words, phrases or sentences designates weak acceptability rather than outright unacceptability (which would be marked by *)

Typographical conventions

The following quotational and typographical conventions are observed in this book.

In all quotations of both literary and non-literary sources, free indirect discourse passages (unless ambiguous) are printed in italics. Emphasis in the original text is rendered as underlining, and my own emphases are given in bold italics. Documentation in quotations from literary sources includes, first, the title of the work cited, followed by the volume, part or book number in capital Roman numerals and the relevant chapter in small Roman numerals. Volume and chapter numbers have been included to facilitate tracing these passages in different editions.

In quotations from the *Survey of English Usage* corpus full stops indicate quarter-second pauses and dashes half-second pauses. Text inside double brackets has been reconstructed from barely audible material. I have not reproduced the *Survey*'s complicated notation which is of no relevance to the present discussion. The *Corpus of English Conversation* (Svartvik/Quirk, 1979) employs capital letters to mark intonational emphasis.

Introduction

Almost thirty years have passed since the *anni mirabiles* of 1966 and 1967 – the years that saw the publication of many critical studies now counted among the modern classics of the literary discipline: Gérard Genette's *Figures I* (1966), A.J. Greimas's *Sémantique structurale* (1966), Roland Barthes's 'Introduction à l'analyse structurale des récits' and his *Critique et vérité* (both 1966), Tzvetan Todorov's 'Les catégories du récit littéraire' (1966) and his *Littérature et signification* (1967), as well as Jacques Derrida's first triplet *De la grammatologie*, *La Voix et le phénomène* and *L'Écriture et la différance* (all 1967).

In 1966 also appeared the critical study to which the title of this book pays homage: David Lodge's *Language of Fiction* – a volume that introduced into British academia an orientation of research anticipated by Stephen Ullmann and, in the United States, by Leo Spitzer. At a time when syntacticians were already modifying Chomsky's Extended Standard Theory of 1965, views about the role of language in literature that had developed in the climate of Russian Formalism, and had been transplanted into the West by Roman Jakobson and by the seminal presentation of them in Wellek and Warren's *Theory of Literature* (1949), were for the first time being applied to English fiction. The emphasis is here on fiction, rather than poetry, since most (but not all) Formalist research had concentrated on poetry, and the shift towards fiction indeed followed the trend already initiated by Spitzer and Ullmann, both of whom were in fact forerunners of the literature and linguistics analysis of literary narrative practised in the present study. I will not provide a detailed discussion of David Lodge's book in these pages. Much of what he had to say in 1966 has since then become the unquestioned orthodoxy in the literary study of prose narrative. Suffice it to note that Lodge initiated an approach to literary fiction which has since developed into an entire methodology of the linguistic analysis of literary texts and, most recently, into the 'New Stylistics'. Among the foremost practitioners of this theoretical orientation can be found Donald C. Freeman (1970, 1981), Roger Fowler (1975, 1977, 1986a, 1986b), Geoffrey N. Leech (1969, 1985), Michael H. Short (1973a, 1973b, 1988), Leech/Short (1981) and Michael H. Toolan (1985, 1988, 1990).

Lodge was shrewd enough to entitle his book *Language of Fiction* rather than **The** *Language of Fiction* – a manoeuvre that decidedly counters any

presuppositions about a unified system of language for the purpose of literary narrative. Nevertheless Lodge, much like his followers, consistently relates specific devices to specific meaning effects – a simplified methodology that can no longer be tolerated (Mair 1985). At the current stage of research a plurality of linguistic devices and their 'meanings' in sometimes bewildering cross-fertilization have been discovered, and my use in the title of a plural, *The Languages of Fiction*, in part alludes to that state of affairs. More importantly, however, my full title is designed to exceed both the purposes and the application of Lodge's original propositions. For one, I contend that there are *several* languages of fiction. This does not merely note the obvious existence of separate national literatures in a variety of different languages. Indeed, French and German are being considered in this study alongside a number of English literatures, written in British, US American, Canadian, Australian, South African, Caribbean and various other African and Asian variants of English. Nor does the plural *The Languages of Fiction* simply reflect the stylistic proliferation between different authors, periods and genres. Although all of these kinds of linguistic diversity (synchronic, diachronic, individual, generic) are important, the wording *Languages of Fiction* is primarily meant to capture the multiplicity of languages among different fictional speakers. These different languages, it will be argued, can in effect be identified as one of the standard meaning effects produced by the *fictions* which language *as a system* (i.e. the language of any national, historical or individual variant or even register) *projects* in the course of narrative signification. The languages of fiction are the fictions of language, and the fictions of language produce, *entre autres*, the evocation of different languages within the fictional text.

The title therefore relates to what I present in Chapter 8 as the theory of schematic language representation, a model with decidedly anti-mimetic tendencies. According to the schematic language paradigm, instances of speech and thought representation even in oral discourse (natural narrative, everyday conversation) are invented according to strategies of typicality and formulaicity. So-called verbatim representations of utterances do of course exist, not as the most mimetic, natural, unmarked form of speech report, but as the most highly artificial, marked and formulaic type of reported discourse. Free indirect discourse, indirect discourse, speech report and the numerous intermediary forms between these canonical types of speech and thought representation all display various degrees of formulaicity and these signals of typical discourse are *marked* in relation to the narrative's unmarked discourse. Dialogue in fiction therefore produces what Barthes called an 'effet de réel' (Barthes 1968) – a fiction of mimesis even in the realm of the most purely mimetic substance, that of linguistic expression iconically represented by itself.

The present study locates itself squarely between a literary and a linguistic point of view. It will indeed be contended that in the matter at hand – speech and thought representation – no distinction between a literary and a linguistic subject matter or perspective can be drawn. The forms and functions of the

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various kinds of represented discourse can, however, only be discussed within a framework that considers the narrative text as – primarily – narrative, literary and mimetic. Although it will be beyond the scope of this study to engage deeply with the nature of narrative mimesis – a question that has recently received some superlatively penetrating criticism[1] – narrative mimetics provides the very framework within which one has to locate even a predominantly linguistic discussion of speech and thought representation. Linguistic methods can contribute cardinally to the *description* of textual givens; the functional *explanation* of these, however, can only be performed by a narrative model that provides for the integration of the generic, narratological, mimetic and semiotic aspects of the reading process. Whereas linguistics supplies the terminological apparatus for the definition of textual phenomena, the reading process and its resultant meaning effects, on the other hand, are characterized by the interplay of textual features (linguistically defined) and the semiotic framework of the reading process which determines how textual givens become integrated into macro-structural narrative frames in which they then come to function as semiotic signals of textual interpretation. Again, these larger perspectives, although of central importance to the project, exceed the possible scope of this study, and I will therefore provide only a brief characterization of the kind of semiotic model that I have in mind. Both this issue and the question of narrative mimetics will receive much fuller coverage in *Towards a 'Natural' Narratology*.

0.1 WHY ANOTHER STUDY OF FREE INDIRECT DISCOURSE?

Free indirect discourse has been a topic discussed at great length for the past twenty years and some sort of consensus on its form and meanings has been reached. Why, then, another study of free indirect discourse?

Speech and thought representation in (fictional) narrative is clearly a crucial issue in narrative poetics and for a variety of reasons. Classic narrative theories see speech and thought representation as central to narratology because it is the locus of interaction between the narrative discourse (*récit*, Genette's *discours*, the narrator's utterance) on the one hand and the story material (*histoire*) on the other, with characters' speech and thought acts considered part of the plot, part of what the narrative is *about*. The overlap between characters' and narrator's language in free indirect discourse, where standard narratological accounts posit the site of a dual voice effect, therefore acquires supreme theoretical relevance as a transgression of an otherwise neat separation line between the words of the text in the narrating process and the plot level of the fictional world, which is linguistic in a merely derivative, incidental and partial manner. Beyond these theoretical concerns, speech and thought representation touches on important stylistic questions, and on the empirical status of narrative categories such as 'the narrator', 'voice', or 'linguistic subjectivity'. Interpretative narrative analyses necessarily rely on

such categories, and a discussion of irony or unreliability would be entirely impossible without them.

In spite of its theoretical centrality, however, few books on narratology provide an adequately balanced account of the linguistic properties of free indirect discourse or of the environments in which the device occurs. Nor are the theoretical implications and significance of speech and thought representation within narrative theory given much prominence. This may partly be due to the set-up of narratological studies: most of these are either introductions or present a new theoretical framework. In both cases meta-theoretical discussion has to be reduced to a minimum. As regards specific studies of free indirect discourse, there has so far been no major book-length treatment of the phenomenon which fully responds to Ann Banfield's revolutionary linguistic theory in *Unspeakable Sentences* (1982), weighing the textual evidence for and against her account as well as analysing its radical implications for narrative theory. Of the books on free indirect discourse that appeared after 1982, von Roncador (1988) – a published dissertation – is more interested in the linguistic comparison to logophoric phenomena, and Ehrlich (1990a) merely extends Banfield's theory beyond sentence level without openly questioning her paradigm. There are, however, a number of quite excellent articles and reviews that critically evaluate Banfield's theory. For reasons of space such treatments have necessarily been unable to fully confront the relevant implications of Banfield's model.

A new study of free indirect discourse has become desirable for other reasons, too. Banfield, like most free indirect discourse studies in English, is blithely unaware of the findings presented by nearly a century of German criticism. The bias towards studying free indirect discourse in terms of English and French textual evidence has had serious theoretical repercussions and can be held responsible for some incorrect (particularly syntactic) analyses of the phenomenon. It will therefore be one of my aims to introduce English readers to some of the central characteristics of *erlebte Rede* that – although commonplaces in German criticism – have so far been largely ignored or misrepresented in English work on free indirect discourse. Besides this glance across the German linguistic and critical border the present study will additionally provide supplementary accounts of free indirect discourse in medieval and pre-nineteenth-century English texts as well as discussing the occurrence of the device in the everyday oral language. German research on the topic has always insisted on the popular origins of free indirect discourse, and recent work in discourse analysis now makes it possible to check such programmatic theses against newly available evidence. The comparison of literary and non-literary instances of free indirect discourse additionally helps to shift the emphasis of my analysis from the more 'fictional' or novelistic characteristics of free indirect discourse to its basic linguistic and functional, i.e. pragmatic, aspects.

The subject of free indirect discourse additionally serves here as a kind of testing ground for the linguistic method in its application to narrative texts,

whether literary or not. An issue that becomes particularly prominent in relation to the study of free indirect discourse is the question how useful linguistic methodology can really be in the analysis of speech and thought representation. The study of free indirect discourse cannot fruitfully be divorced from the examination of other forms of speech and thought representation. *Qua* renderings of characters' language in fiction, indirect and free indirect discourse passages contrast with the seemingly verbatim 'quotation' of figural discourse on the one hand and with pure narrative on the other. More specifically, one can translate this into the question whether free indirect discourse, indirect speech or any of the other forms of speech and thought representation allow themselves to be defined in purely linguistic terms. Although some accounts of free indirect discourse have already noted that many instances of the device are linguistically ambiguous and have treated the commonly noted linguistic signals indicating the presence of free indirect discourse as mere *indices* rather than as reliable criteria affording sufficient proof for the presence of the device (Verschoor 1959), the syntactic and lexical delimitations between free indirect report and other forms of represented discourse have received all too little analysis. Nor have the various criteria on which the distinctions between the individual forms are based been subjected to critical examination.

Among the issues that need to be confronted here, the patent differences in function between the representation of speech and the representation of consciousness require serious attention. The imbalance between form and function – observable, for instance, in the prevalence of indirect discourse (besides direct discourse) for the representation of characters' speech acts and the near-non-occurrence of the form for the rendering of consciousness – has been observed before, signally by Cohn (1978) and Leech/Short (1981). However, some of the consequences of this imbalance between form and application still need to be discussed, and the schematic bases of this imbalance will need to be analysed more fully. Most importantly, however, the present study attempts to point to general parameters or contextual frames that decisively influence the determination of free indirect discourse passages as well as accounting for the uses and meaning effects of the technique. With few exceptions (but see McHale 1978, 1983) the contextual flavour of speech and thought representation has so far been awarded insufficient critical attention. The delimitation of free indirect discourse as a linguistic rather than contextual phenomenon was already a question very much at issue between Charles Bally and the Vossler School at the beginning of this century. Bally claimed that free indirect discourse was an objective rendering of a character's speech act, and he interpreted ironic free indirect discourse as *antiphrase* and neutral or empathetic uses as *figure de pensée*.[2] The debate about the qualities of empathy versus irony versus objectivity in free indirect discourse is very much with us still, and it clearly has to be related to macro-structural frame phenomena that decisively influence the choice of linguistic form as well as subsequent interpretations and ultimate uses or functions of such speech and

thought representations whatever their linguistic form or category. Moreover, this general problematic significantly bears on considerations of context: empathetic thought representations in free indirect discourse are quantitatively more prominent than ironic ones, whereas free indirect discourse renderings of speech acts typically tend to be either ironic or neutral (objective): one usually does not talk about empathy in this case.

Besides the more specifically syntactic features of free indirect discourse and other forms of discourse representation, the 'borrowing' by the narrative of characters' idiom and lexis constitutes a crucial factor in the recognition of a 'voice' in the text. In particular, Banfield's theory of narratorless or speakerless sentences, which she proposed in development of, and on the inspiration from, Benveniste's *histoire* category[3] and Barthes's concept of *écriture*, invites a reassessment of the linguistic and narratological foundations of textual subjectivity and suggests a critical evaluation of the standard communication model in narrative theory. As the newest theories of free indirect discourse have suggested, one can discuss the narrative's infiltration with characters' idiom in terms of a 'deictic centre'. Many of the lexemes attributable to a character's 'point of view' can indeed be related to that character's deictic *hic* et *nunc*, corresponding to Bühler's *origo* (Bühler 1934), reintroduced into the language of the mediating narrative. Other stylistic and particularly syntactic features, however, seem to require the positing of an 'underlying' direct discourse act of the character (frequently identified as the character's 'voice'), whose sociolect, ideological preoccupations and philosophical orientation 'show through' the mediating language. On account of this close relation to deixis, free indirect discourse is now seen to be crucial to the discussion about narrative point of view and the linguistic representation of subjectivity.

The intermingling of characters' and narrator's lexes, besides its purely narratological significance, is of course of additional concern for stylistic analysis. In particular, the echoing of characters' idiom in the narrative has become the focus of some interesting methodological considerations. Characters' vocabulary finds its way into the narrative not only in passages of free indirect discourse (whence the 'dual voice' hypothesis); it can occur *throughout* the narrative text, even outside passages of speech and thought representation. This 'contamination' (Stanzel 1984b) of narratorial idiom by the language of the characters has been little noted in Anglo-American criticism – Hugh Kenner's 1978 'Uncle Charles Principle' constitutes a tantalizingly *legerdemain* treatment of the issue. More importantly, the *distinction* between characters' and narrator's language – a conspicuous conundrum not only in the discussions of free indirect discourse – requires ample methodological analysis beyond Riffaterre's micro-contextual speculations in the 1970s. One needs to acknowledge, for instance, that his concept of *deviation from context*, like the earlier deviation from the norm, relies on a fundamental binary opposition between similarity and dissimilarity, a dichotomy that on a theoretical level directly involves the notions of difference, alterity and

différance. No present-day analysis of stylistic 'contamination' can fail to take these issues into account. Likewise, stylistic interaction between the narrative and the reported discourse can no longer be discussed without reference to Bakhtin's dialogic principle, a concept that has suffered much critical sleight of hand. Finally, the linguistic interaction of narrator's and characters' language needs to be related to the question of linguistic and stylistic *norms*, which are always already societal norms, too. The problematic of deviation pure and simple has now been replaced by the (equally intractable) theoretical complex of marking and linguistic foregrounding, where the bases of marking or foregrounding repose on the same normative and contextual data hitherto adduced to account for formal deviation.

Beyond the more linguistic problems outlined above, free indirect discourse and speech and thought representation in general need to be related to a number of macro-textual and interpretative aspects of the reading process in general. Some of the contexts involved are more restrictedly literary, as for example the question of point of view, the narrative situation, mood or voice; others are of a more conceptual nature, involving, for instance, the reading conventions that trigger an interpretation in terms of speech or thought representation. Even 'simple' grammatical features, such as the use of tense in narrative, can be of great significance for more general narratological issues. Examples are, for instance, the question of the fictional quality of past tense narrative (known as the discussion about the so-called epic preterite) or the cognitive and schematic framework for the reading of narrative fiction. Some of these issues naturally need to be discussed in relation to the presumed fictionality of literary narrative – most recently a subject of renewed fascination with the old guard of narratologists. (See Cohn 1989, 1991; Riffaterre 1990; Genette 1990, 1991.) I will try to redress this overemphasis on fictionality by my emphasis on natural (or conversational) narrative.

A new examination of free indirect discourse can therefore be claimed to contribute significantly to the linguistic understanding of speech and thought representation, but should additionally help to clarify a number of narratological and stylistic issues which will be of interest to the literary critic in general.

0.2 CHAPTER OUTLINE

The following account of free indirect discourse and related phenomena starts with some general frame considerations, which attempt to place the reporting of others' utterances within a typological perspective of research in philosophy, literary criticism and linguistics. Chapter 1 provides a basic introduction to the diegesis/mimesis distinction, to speech act theory and its applications for speech and thought representation, to the linguistic analyses of deixis and to the communication model in narrative theory. These issues will be taken up again at relevant points during the discussion of the evidence, and conclusions about the function of narrative mimesis can be stated only in

the wake of the schematic language model and the semiotic framework presented in Chapter 8.

Chapter 2 provides a general introduction to free indirect discourse, particularly for those readers who are new to the subject. In addition to this general preliminary characterization, more specific issues are also broached: the historical origins of free indirect discourse, the non-exclusive literariness of the device, the occurrence of free indirect discourse in past tense and present tense narratives, in narrative of all persons and all modes and in languages other than German, French or English.

In Chapters 3 and 4, I will then provide an exhaustive description of (free) indirect discourse, noting its possible variants in oral and written texts, plus analysing the most distinctive signals of the device whether syntactic, lexical or contextual. Chapter 3 concentrates on the 'shifted', narratorial features of (free) indirect discourse – person, tense and syntactic subordination. Chapter 4 covers the unshifted characteristics of expressivity and subjectivity: adverbial deixis as well as lexical and syntactic features relating to the reported speaker's deictic centre.

In Chapter 5 I then turn to the scale model of the forms of speech and thought representation and discuss the (definitional) problems that this approach entails. Chapter 6 continues with a presentation and evaluation of the dual voice hypothesis and considers the problematic character of the poetics of deviation. Chapter 7 presents a synopsis of Banfield's account of free indirect discourse and discusses the achievements, failures and limitations of Banfield's theory. The chapter concludes with a proposal for radicalizing Banfield's tenets.

Chapter 8 considers the fallacies of the direct discourse approach underlying all previous treatments of speech and thought representation, and presents the schematic model of language representation. Chapter 9 complements this with a contextually determined, reader-oriented approach to the narrative representation of characters' discourse and consciousness. I will conclude with some consideration of the ulterior consequences of the new model in the linguistic, narratological and stylistic domains.

0.3 METHODS AND AIMS

Since this book is centrally concerned with methodological questions, I have decided to dispense with a more extended methodological essay at this initial stage. The following remarks are therefore meant to convey, in a rather more practical spirit, what kind of book this is and how it came into being.

It needs to be clarified at the outset, *ex negativo*, that there are a number of alternative approaches that decisively differ from my own. These should be regarded as complementary extensions of the present project, not competing theories against which I write. Moreover, within the current limitations of time, expertise and – above all – space, paths that could profitably have been pursued in a longer study, or in an entirely different one, have had to be

ignored or surveyed in a preliminary fashion rather than incorporated into the subject matter of this book.

These caveats apply specifically to the more historical questions raised in this volume. Since the study was conceived as a structural, linguistic and narratological analysis, I did not have sufficient space and time to then apply all theoretical conclusions to the extensive historical evidence. Where possible, a rough estimate of the situation is provided, and noticeable lacunae or recurrences are pointed out. As an example of this state of affairs one can mention the use of parentheticals in free indirect discourse. These apparently occur much more frequently in English and French than in German, and in English seem to be distinctly dependent on the personal taste or stylistic inclination of an individual author. Since this is not a statistical corpus study, nor a study of a specific literary period, definitive conclusions about the pervasiveness of narrative parentheticals in English, German and French literature will have to wait until such a study has been undertaken.

Neither is this book a corpus study in the linguistic sense of the term. There has been no effort to collect statistical data, largely because of the theoretical orientation of the research. The literary texts listed in the bibliography have been analysed primarily with a view towards finding rare or supposedly impossible collocations of linguistic features, for example occurrences of expressive elements outside direct or free indirect speech in the domains of indirect speech, psycho-narration, speech report or in the narrative discourse itself. In this framework the one exception to the rule acquires more than proportional importance over the recurrence of expected features. A predominantly statistical analysis of forms of speech and thought representation would have resulted in a restriction of the number of analysed texts and would therefore have required a limitation, say, to *one* national literature's major canonical works, or to texts of one or two historical periods exclusively. Moreover, such a statistical project would have encountered serious methodological problems in view of the practical necessity to institute arbitrary definitions for the relevant categories. Such arbitrariness would necessarily have resulted in an erosion of the actual usefulness of the statistical data, since one would have had either to decide on larger categories that include marginal and ambiguous phenomena, or to indulge in a proliferation of subcategories and intermediary categories which would have rendered the statistics next to useless for interpretation. From previous experience with statistical research (Fludernik 1982) I have also acquired a profound distrust of the methodological relevance of statistical data. Statistics typically take individual occurrences of certain phenomena out of context. Since the present study attempts to document the crucial importance of context for the purpose of the even preliminary establishment of basic categories, a statistical approach would from the outset have vitiated one of the major aims of the project. These remarks are, however, not meant to discredit statistical research in itself. On the contrary, I would welcome a series of statistical analyses that might help to corroborate, modify or refute some of the theses I am here proposing. Such

studies would have to choose very specific historical and typological corpora rather than aiming at the comprehensiveness that I have attempted in these pages.

A second point that requires elucidation concerns my choice of texts. In principle, no premeditated choice of a specific canon has been made. The literary texts on which I draw basically cover the novels which I have read over the past eight or ten years. Fiction that I have read and found to contain little free indirect discourse, or only very typical and unremarkable instances of it, has not been included. On the other hand, as the project developed and specific historical questions arose, texts were chosen more deliberately to cover the pre-nineteenth-century period, fiction in the second person, fiction written entirely in the present tense or neutral narrative. I have included works of popular literature alongside a few novels outside the British and American canons, and there has been a serious attempt to concentrate on authors that have so far received little attention in the debate on free indirect discourse. The work of Dickens, which has not been examined in any detail for its (free) indirect discourse, was therefore analysed more fully than D.H. Lawrence or Thomas Hardy, whose uses of free indirect discourse are fairly standard, and I have not included any Dos Passos because this has been the favourite example text of McHale's. I have also excluded all consideration of Joyce on account of my previous work (Fludernik 1986a, 1986b). In this respect as in others, the present volume seeks to be complementary to previous research whose results need not be replicated unnecessarily. The attempt has been to cover as much variety as possible from a generic, historical, narratological, ethnic and gendered point of view, filling, if possible, lacunae left by previous research.

Besides works belonging more strictly to the literary canon (if one can still call my choice canonical) I have additionally supplemented the source material by including both oral narrative (in conversation) and journalistic or critical prose. Alongside various material from discourse analytical studies, the examples in this category here mainly derive from the *Survey of English Usage* (University of London, Gower Street). As for historical, critical and journalistic prose, I rely on random evidence sampled from my own reading, especially from the *New York Review of Books.*

The linguistic scope of this study also requires some specification. I have mainly concentrated on the English language in its British and US American variants. Surprisingly little difference has been noted between these two regional dialects of English, at least as far as the handling of speech and thought representation is concerned. Of course there are numerous lexical differences, but they only affect the number of available lexemes of certain open modifier categories. Syntactic differences, such as the acceptability of multiple negation in various English regional dialects, again do not considerably change the situation except for making available a larger number of expressive syntactic features. Even work written entirely in non-standard English (for instance Alice Walker's *The Color Purple*) in no way changes the

essential features of free indirect discourse. The situation is, rather, comparable to the effect of, say, present tense narrative in which the formal marking of sequence of tense seems to disappear. Categories are collapsed (for example when ambiguous tense forms are used), but no new categories or new structural elements can be observed. The same seems to apply with regard to Canadian, Australian and South African literature, at least judging from the few novels that I have looked at.

Besides dealing with an English corpus in the defined sense, this volume also awards a major emphasis to the comparison with the situation in German and French. Here and there I have also appended a note on speech and thought representation in Russian or Japanese, but have had to leave any extensive account pending until more fully qualified research is undertaken. For reasons of space and because this book was written to fulfil Austrian habilitation (tenure) requirements for an English Department, German and French examples have been kept to a minimum. For easy reference translations of non-English quotations have been provided, and I have revised the wording or provided my own versions where available published translations proved to be too imprecise to illustrate the 'point' under discussion.

I now come to the argumentative shape of this volume. It has been noted above that the book is of a predominantly theoretical cast. This bias has repercussions with regard to what I emphasize, the style of argumentation and the choice of an emphatically linguistic rather than purely literary vantage point.

For structural and theoretical reasons this study concentrates on marginal features of free indirect discourse and on those problematic areas in the current paradigm where standard explanations have so far failed. Such an orientation has been motivated primarily by the exigencies of the present state of the critical debate. In particular, the necessity to respond to Ann Banfield's linguistic theses and therefore to adopt her empirical framework has decisively shifted the argumentational structure from pure description to the documentation of possible variants (and an implied claim for the non-occurrence of certain other combinations or collocations). Thus, I have provided extensive examples for passages of indirect discourse that incorporate expressive features, complementing analyses and examples by McHale (1983) and Sternberg (1991). Since most of the crucial issues have been raised from the linguistic camp, this has also meant a decisive shift towards a more linguistic analysis of the subject. However, as will be obvious from a comparison with von Roncador's (1988) dissertation, my linguistic analysis is integrated into a larger textual and narratological framework.

Literary critics may note the complete absence of a discussion of the function of free indirect discourse or of its meaning. This lacuna is quite deliberate. As I will argue in the course of my attack on the poetics of stylistic deviation in Chapter 6, free indirect discourse – unlike a past tense morpheme – is not a linguistic form that could be aligned with a specific function or

meaning. On the contrary, as has variously been documented in a number of perceptive critical studies (Pascal 1977, Page 1988, Kühn 1988), free indirect discourse can be employed in very different contexts and for a variety of functions. Interpretatively fruitful discussions of the significance of free indirect discourse in a particular paragraph, or even in a whole work, necessarily deal with the *effects* of the supposed 'double voice' of free indirect discourse. A lack of delimitation between the narrator's and the characters' language, or a very pronounced citation of characters' linguistic peculiarities, may serve a large variety of idiosyncratic effects that depend on the situational, narratological and ideological (macro-)context. The uses of free indirect discourse in George Eliot (D.A. Miller 1988), in Zora Neale Hurston's *Their Eyes Were Watching God* (Gates 1989) or in *Madame Bovary* (LaCapra 1982) cannot be reduced to a grammatical shape and might conceivably be produced by entirely different means (authorial commentary, narrative discontinuities, etc.). Free indirect discourse indeed frequently *contributes* to, rather than directly *causing*, certain macro-structural situations, for instance the prevalence of figural narrative, or the evocation of dead-pan irony (Fludernik 1992b). If the question of *function* is therefore dismissed in the present study, this has been done in the interests of the theoretical purposes of this volume alone; in the interpretation of individual works of narrative that question will remain of prime importance.

A second lacuna concerns the much-discussed question of point of view or (figural) perspective. Narratologists have treated this problem primarily in typological terms, establishing focalization either as perceptional and ideological viewpoint anchored in narratological instances (the narrator or a character), or as camera-like focussing on external and internal sense data and controlling the accessibility of such sense data (Bal 1985). Stanzel (1984b) combines enunciational (teller versus reflector character), existential (realms of existence) and purely perspectival choices to establish his three narrative situations, and other critics (Füger 1972, Lanser 1981, Bonheim 1982a) dissect narrational constellations into an entire substructure of collocational elements. In all of these systems point of view closely correlates with either perception or access to internal consciousness, and the basis for textual analysis in each and every case can be located in the presence and quality of deictic (i.e. potentially perspectival, subjective) elements in the text, and in the schematic situational naturalizations to which they give rise. In this book I will therefore return to basics and work my way up towards some of the constellations that are standardly described in terms of point of view.

The present volume squarely situates itself between a linguistic and a literary analysis of narrative prose. Indeed, the distinction between a purely literary and an exclusively linguistic approach loses its meaning in the kind of criticism here undertaken. I therefore believe that the present project exceeds a characterization in terms of a 'literature and linguistics' frame, for instance under the title of 'the Newest Stylistics'. What I am attempting to do in these pages is not an *application* of linguistic methodology to narrative prose, doing

literary criticism with a toolbox of linguistic methods and categories. Nor is this, precisely, a linguistic study of phenomena best documented in literary texts – a study, that is, in which the literary effects of the proposed *langue* become secondary and negligible. My main inspiration, by contrast, comes from literary stylistics, narratology and discourse analysis or text linguistics, and the methodology here envisaged can perhaps be described best as a text linguistics of narrative language. The effort to discover how language 'means' – a basically semiotic and linguistic starting point – has here been subjected to a generic frame, foregrounding how specific seemingly linguistic phenomena function in literary and non-literary texts. Nevertheless, a decisive linguistic emphasis – surprising in somebody with a decidedly literary background – has to be acknowledged. What this book is doing can certainly be appreciated best as a present-day update and – it is hoped – development, of Charles Bally's stylistics. It is therefore entirely appropriate for me to concentrate, among the various types of speech and thought representations, on the very phenomenon that Bally himself helped to discover and popularize.

How, precisely, does the methodology embraced in these pages relate to current models? What is the place of linguistic methods and of grammar in the present inquiry? This can be illustrated best by distinguishing between three levels of analysis. There is a basic level of textual analysis on which the linguistic properties of various kinds of speech and thought representation are being described by means of standard (mainly) transformationalist linguistic categories. On this level, the work of generations of linguists in this century which has resulted in a fairly consistent description of syntactic phenomena is adopted as a common ground of a descriptive methodology. I am of course aware that Chomskyan syntax has come under attack from several directions, most damagingly from pragmatics and analyses of the syntax of oral language (Mulder 1989, Halford/Pilch 1990). However, in the present study, what is adopted is not the entire apparatus of the Chomskyan model but the terminology for designating some specific syntactic features. It is to be expected that different syntactic models will explain these features differently but will nevertheless incorporate them as distinct phenomena of English syntax, as is indeed the case in McCawley (1988). Since most syntactic features dealt with in these pages are generally noticeable properties of the language or observable deviations from the expected, neutral word order, it ultimately does not really make much difference whether, say, fronting is described as a type of CP (complementizer phrase) adjunction or a movement operation into CP specifier position. The name given to some of these phenomena naturally implies a specific syntactic model, but since the preposing itself is a self-evident empirical fact of observation, one can, I believe, use the terminology simply to identify phenomena without at the same time necessarily espousing the entire syntactic model which has produced the terminology. A mildly Chomskyan approach, as already noted, became indeed necessary on account of Banfield's work on free indirect discourse. I have, however, used transformationalist terminology only where absolutely necessary and have even employed such

reactionary descriptors as *direct object* in a major bid for general comprehensibility. Whatever the linguistic terminology applied on the basic level, readers unfamiliar with modern linguistics should be able to follow the argument by observing the example passages which have been added.

Whereas, on the basic level of linguistic description, the sentence was a major unit on which most definitions were based, the second level of analysis in this book concerns textual or discourse units. This is the level on which a possible linguistic definition of free indirect discourse is discussed, and on which most contextual phenomena occur that are treated in these pages. On this level, the linguistic method has already lost much ground. Whereas the existence of a *langue* was implicitly presupposed on level one as a system allowing definition of linguistic phenomena, the textual phenomena treated on a discourse level, even if lexicalized or definable in syntactic terms (e.g. discourse modifiers or addressee-oriented adverbial phrases), relate to a plane of pragmatic interaction and rhetoric strategy which has been described so far in a much less exhaustive manner than 'purely' syntactic phenomena. (But see, for instance, the excellent work of Longacre 1983.) Since I was dealing with a body of previous research mostly discussing literary prose, I have here relied on basic tenets from the current narratological paradigm. Besides the work of Gérard Genette, Shlomith Rimmon-Kenan and Michael H. Toolan, this standard model has been presented most forcefully and competently by F.K. Stanzel (1984b), whose major categories have here been adopted for the analysis. In the interests of easy comprehensibility, particularly for non-narratologists, great care has been taken to indicate equivalent Genettean terminology, where available, and to provide non-technical explanations (which may perhaps strike narrative theorists as simplistic). Stanzel's typology has been used throughout because his proposals are surprisingly compatible with the results of Banfield's analysis and help to illuminate the importance of her major insights while, at the same time, providing some explanation for the drawbacks of her approach. Stanzel's typology has, however, not been adopted in wholesale fashion. Nor do I want to turn this book into an appreciation and argued revision of the Stanzelian paradigm. I will indicate in the text where I try to go beyond the frame of *A Theory of Narrative* (Stanzel 1984b).[4]

On a final, third level, linguistics as such plays even less of a role than on the second, discourse-oriented level. Whereas even Stanzel relied on linguistic textual aspects for his definition of narratological categories, the phenomena discussed on level three concern interpretative and cognitive principles which extend the analysis of linguistic and textual givens into the realm of cognitive science. This is the direction in which much linguistic theory, inspired by frame theory, has recently moved, not only in the analysis of metaphor but also within discourse analysis (G. Lakoff 1987, Lakoff/Johnson 1980, Lakoff/Turner 1989, Turner 1987, de Beaugrande 1980). Cognitive linguistics attempts to uncover the cognitive bases which enable language production and language reception, and it therefore deals with the constitutive factors of human cognition rather than with any specific linguistic issues.

To summarize, the present study does not rely on linguistics as a ruling methodology, but utilizes linguistics as one basic, contributive level of analysis which is then complemented by more textual and interpretative methodologies. In this I transcend the more purely linguistic approach of both Banfield (1982) and Kuno (1987) in moving beyond linguistic principles of interpretation that are said to operate in Chomskyan Logical Form or on the syntactic surface structure. The general interpretative and cognitive frame brought in on level three, in contrast to 'interpretative principles', locates such reading strategies within a comprehensive frame of discourse production and reception (Grice's conversational maxims, Sperber/Wilson's relevance theory) and subsumes these more linguistic phenomena under a general inquiry into the properties and orientations of the human mind. These cognitive factors therefore function as a kind of ultimate horizon to my account of linguistic and textual phenomena.

I would like to conclude this section by noting the extent and limitations of the bibliography. For obvious reasons this bibliography cannot claim comprehensiveness for all aspects treated in the book. References are most comprehensive for work on free indirect discourse; I have, however, on the whole excluded studies on the use of free indirect discourse in individual authors, work in languages which I do not speak (unless they seemed to be especially relevant) and brief minor essays. For the general problems of speech and thought representation I have attempted to be as comprehensive as possible, but have had to choose what seemed to me to be the more important studies. No comprehensiveness can be claimed concerning more specific issues such as speech act theory, the philosophical problems of the *de dicto/de re* distinction and very specific linguistic problems. Such are the drawbacks of a wide scope and they need to be accepted together with the advantages of the new insights afforded by connecting data from widely disparate disciplines. I will be grateful for any advice, modifications and refutations from scholars at home in the areas that I have here covered from the limitations of an outsider's perspective.

0.4 TERMINOLOGICAL PRELIMINARIES: REPRESENTATION AND BEYOND

In the title of this study I have combined two apparently incompatible views of the representation of language in and by language. In the paradoxical first part I speak of the *fictions* of language, referring to the creative illusions, to the effects of mimetic representation that language is able to evoke by means of rhetorical strategy. In the subtitle, on the other hand, I resort to the technical term *representation*, which is the standard literary concept applied to contexts

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