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**NARRATION AND SPEECH AND THOUGHT
PRESENTATION IN COMICS**

ANDREA TANG

**A thesis submitted to the University of Huddersfield
in partial fulfilment of the requirements for
the degree of Doctor of Philosophy**

The University of Huddersfield

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Abstract

The purpose of this study was to test the application of two linguistic models of narration and one linguistic model of speech and thought presentation on comic texts: Fowler's (1986) internal and external narration types, Simpson's (1993) narrative categories from his 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales. These three linguistic models of narration and speech and thought presentation, originally designed and used for the analysis of prose texts, were applied to comics, a multimodal medium that tells stories through a combination of both words and images. Through examples from comics, I demonstrate in this thesis that Fowler's (1986) basic distinction between internal and external narration types and Simpson's (1993) narrative categories (categories A, B(N) and B(R) narration) can be identified in both visual and textual forms in the pictures and the words of comics. I also demonstrate the potential application of Leech and Short's (1981) speech and thought presentation scales on comics by identifying instances of the scales' categories (NPV/NPT, NPSA/NPTA, DS/DT and FDS/FDT) from comics, but not all of the speech and thought presentation categories existed in my comic data (there was no evidence of IS/IT and the categorisation of FIS/FIT was debatable). In addition, I identified other types of discourse that occurred in comics which were not accounted for by Leech and Short's (1981) speech and thought presentation categories: internally and externally-located DS and DT (DS and DT that are presented within (internally) or outside of (externally) the scenes that they originate from), narrator-influenced forms of DS and DT (where narrator interference seems to occur in DS and DT), visual presentations of speech and thought (where speech and thought are represented by pictorial or symbolic content in balloons) and non-verbal balloons (where no speech or thought is being presented, but states of mind and emphasized pauses or silence are represented by punctuation marks and other symbols in speech balloons).

Keywords: Multimodal Images Comics Speech Thought Presentation

Academic Biography

Andrea Tang has completed bachelor and master degrees in English Language (BA(Hons) in English Language with Creative Writing and MA in Modern English Language) at the University of Huddersfield. Currently, she is a PhD research student at the same university, writing a thesis on 'Narration and Speech and Thought Presentation in Comics'. She has presented her research at previous Postgraduate English Conferences at the University of Huddersfield and at the PALA (Poetics and Linguistics Association) 2013 Conference in Heidelberg, Germany.

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Chapter 1: Introduction

1.1 Reasons for research

My intention for this thesis was to test the application of three linguistic models of narration and speech and thought presentation on the multimodal text of comics: Fowler's (1986) internal and external narration, Simpson's (1993) narrative categories from his 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales. I aimed to see whether the types of narration and the categories of speech and thought presentation from these linguistic models occurred in the multimodal text of comics, and thus to see whether these narration types and speech and thought presentation categories were adequate to describe the narration and speech and thought presentation found in comics. This would show that Fowler's (1986) internal and external narration types, Simpson's (1993) narrative categories from his 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales are applicable to comics as well as prose fictional texts, the types and categories of narration and speech and thought presentation from these linguistic models being identifiable in comics as well.

Comics are a bimodal medium that utilizes both words and images to tell a story. Comics, because of their visual nature, have been an understudied area and have not received as much academic attention as prose texts such as fiction novels. They are commonly considered less 'literary' than traditional written prose texts (Eisner 2008b: xv) (see section 1.4). If linguistic categories of narration and speech and thought presentation can be identified in comics though, then there is a case to argue for comics being linguistic, literary texts too. And if Fowler's (1986), Simpson's (1993) and Leech and Short's (1981) models can be applied successfully to comics, then their potential applications would extend beyond

prose texts into multimodal comic data as well. This is a study into the potential application of linguistic models of narration and speech and thought presentation on comics. Both comics and the linguistic models in question stand to benefit from this study. Comics, an under-researched area, have received some needed academic attention in this thesis. Through investigation into forms of narration and speech and thought presentation in comics, I have shown how comics narrate their stories and present dialogue. The linguistic models of narration and speech and thought presentation that I have used, originally designed for prose texts, have been tested on a new kind of multimodal narrative in the form of comics, thus expanding and adapting the use of these linguistic models. And in testing these linguistic models on comics, I have been modelling the nature and scope of narrative in comics.

With regard to the comics I have used for this study, my concern was to be able to find comic examples for Fowler's (1986) and Simpson's (1993) narrative types and categories and for Leech and Short's (1981) speech and thought presentation categories. Therefore, I chose comic extracts from a broad range of comics. Most of my data is sourced from action, superhero and science fiction genre comics, which were the most readily accessible for me, and from over an unrestricted time frame (from Eisner's *A Contract with God*, originally published in 1978, to a more recent issue of a *Transformers* comic released in 2011). I took a broad approach to my range of comic data in order not to limit the forms of narration and speech and thought presentation I could find in comics, and I wanted to see whether any of the types and categories of narration and speech and thought presentation were common in a variety of comics. This was a way for me also to observe whether changes have occurred in narration and speech and thought presentation between older and newer comics.

My main aim for this thesis though was to test whether the types and categories of narration and speech and thought presentation from Fowler's (1986), Simpson's (1993) and Leech and Short's (1981) models could occur in comics. I did not wish to limit my range of

comic data to a particular set of titles or to comics from a chosen time frame because this would potentially restrict the occurrences of the types and categories of narration and speech and thought presentation that I could find from comics, and some comics may have contained more or less instances of any of the types and categories than others. Though I did observe some of the types and categories of narration and speech and thought presentation to be common in comics whilst others were rare in occurrence, it was not my intention to determine the frequency of occurrence of these types and categories in comics. Measuring the frequencies and patterns of the types and categories was not part of my aim for this thesis. My approach for this thesis has been a qualitative one. I sought to find out whether Fowler's (1986) narration types, Simpson's (1993) narrative categories and Leech and Short's (1981) speech and thought presentation categories existed in comics and thus how applicable they are to comics. I accomplished this by finding examples from comics that could be identified as instances of these types and categories of narration and speech and thought presentation.

1.2 Research questions

There are five broad research questions that this thesis addresses:

1. What kinds of narration can be identified in comics, visually as well as textually?
2. Can Leech and Short's (1981) speech and thought presentation categories be applied to comics?
3. Does the narrator 'interfere' in the presentation of character dialogue in comics?
4. Are there discourse presentation categories specific to comics?
5. What effects can be generated from the types of speech and thought presentation found in comics?

This thesis is divided into three parts. Part one concentrates on narration in comics, part two deals with speech and thought presentation in comics, and part three consists of final conclusions. The first research question is addressed in part one. Research questions 2 to 5 are the subjects of part two. Part three brings together the conclusions of both parts of this thesis. I have started off in part one by addressing narration in comics because this provides a base for the discussion of speech and thought presentation in comics in part two. Speech and thought presentation are an aspect of narration techniques as they are about how a narrator reports speech and thought in a narrative text. In order to understand and discuss speech and thought presentation, we first need to define what narration is as it is from within a narrative that speech and thought are presented to an audience.

In the next chapter (2), I provide an overview of background literature on narration, outlining Fowler's (1986) distinction between 'internal' and 'external' narration and Simpson's (1993) 'types A, B(N) and B(R)' narrative categories from his 'modal grammar of point of view'. Following this, in chapter 3, I begin to address research question 1 regarding narration in comics by introducing a visual framework for analysing images from Kress and van Leeuwen's (1996) visual grammar. This visual framework then allows me to apply Fowler's (1986) internal and external narration types and Simpson's (1993) A, B(N) and B(R) narrative categories to the images as well as the text of comics in chapter 4.

Chapter 5 moves on from narration and into speech and thought presentation. It provides an overview of background literature on speech and thought presentation. Chapter 6 focuses on and describes Leech and Short's (1981) speech and thought presentation scales and their subsequent updates in detail. Chapter 7 answers research question 2. In this chapter, I apply the categories from an updated version of Leech and Short's (1981) speech and thought presentation scales from Short (2012) to comic texts. Here I show that there are some

categories of speech and thought presentation that can be readily identified and are commonly used in the visual medium of comics, such as the direct speech (DS) presentations found in speech balloons, but other categories from Leech and Short's scales are harder to find in comics, such as indirect forms of discourse which require a reporting narrator whose presence is often kept to a minimum in comics. Section 7.5 of chapter 7 also addresses research question 3 as it discusses unusual cases of narrative intervention in the direct speech and thoughts of characters in comics, which are unlike prose texts where it is generally assumed that the narrator does not interfere with the reported content of direct speech and thought (only reporting the words of characters faithfully). Whether these cases of narrator interference in direct speech and thought in comics should be categorised as a form of direct discourse or as a form of free indirect discourse is debated.

Chapter 8 addresses research questions 3, 4 and 5. Research question 3 is addressed in sections 8.7 and 8.8 of chapter 8 as they discuss narrator intervention in direct speech and direct thought in comics. Research question 4 is addressed as this chapter proposes several types of direct speech and direct thought that can be found in comics. In addressing the visual types of discourse presentation unique to comics and the different forms of direct discourse in them, categories of discourse presentation that are useful and relevant for comics are created. The categories of Leech and Short's speech and thought presentation scales are not sufficient to account for all speech and thought presentation phenomena found in comics and they do not account for the various ways in which direct discourse can be expressed in comics. It is necessary to add to Leech and Short's scales in order to enable them to encompass all the types of speech and thought presentation found in comics. Research question 5 is addressed in this chapter by the exploration of various effects generated from direct speech and direct thought presentations in comics. Some of the effects that are produced by discourse presentation in prose texts can be produced in comics too, such as distancing and proximity.

But there are also unique effects generated by the speech and thought presentation of comics which are made possible only in comics. There is potentially a capacity in comics to produce a wider variety of effects due to the interaction of text and images. Pictures allow effects to be created in the speech and thought presented as a part of them. The audio aspect of a direct speech presentation may be emphasised, or an 'echoing' or voice-over type of direct speech may be created, for examples. For any speech or thought presentation in comics, many effects are possible to generate depending on the visual context in which they appear. In chapter 8, I demonstrate some of the interesting and unusual effects produced by the different types of direct speech and direct thought that I have identified in comics.

The overall contribution of this thesis is summarized in the final conclusions of chapter 9. For the rest of this first chapter, I define what comics are, challenge the common perception that comics are a simplified form of reading and visit some of the limited academic literature on comics.

1.3 What are comics?

In the UK, comics can be found in science fiction and comic shops and in collected books under the general marketing name of 'graphic novels' in bookshops (which can include various types and genres of word and image works, from non-fiction to fiction publications and science fiction or superhero to cartoon and humour titles). There can also be found a subsection in many major bookstores and comic shops for translated Japanese 'manga' titles as well, which is a genre of black and white comics from Japan that has become popular since the mid-1990s.

There is a plethora of American superhero comic titles from action-adventure and sci-fi genres that dominate the comics industry and are the most widely recognised types of

comics (and it is from these types of comics that I will be taking most of my data for this thesis). When we think of comics, it is not uncommon for well-known comic book superheroes like *Batman*, *Superman*, *Spider-Man* and *The Incredible Hulk* to come to mind. The U.K. imports many of these popular American comic book superhero titles from the United States. In Japan, the manga comic market is vast and aimed at all ages of readers, from children to adults. Many of the translated manga titles we find here in the UK are based on popular Japanese 'anime' cartoon shows, such as *Sailor Moon*. In comparison with the US, Japan and other countries though, the UK comic market is quite small. Aside from the US-imported comic titles, the majority of UK-produced comics occur in children's magazines or comics, such as *Dennis the Menace* comic strips (now *Dennis and Gnasher*) in *The Beano* and various TV cartoon show and movie-based comics such as *The Simpsons* (There is a well-known exception to this though in the *2000 AD* comics anthology which contains the long-running and well-recognised *Judge Dredd* comic strips.). This would seem to reflect a widespread stigmatic view in this country that comics and cartoon strips are for children and teens more than adults.

Comics are a multimodal medium that use both words and images to tell a story. They can mimic elements of film, e.g. in the angle of images, and literature, e.g. in use of written narration. But they also have the potential to create unique effects from the combination of text and pictures that are not possible (or not often used or difficult to create) in either prose texts or films, e.g. dramatic irony can be produced by contrasting or contradicting the semantic content of words against images, perhaps to create sarcasm, make obvious a lie or highlight the hypocritical nature of a statement; or by creating ironic, coincidental, semantic and metaphorical parallels between the words and pictures, such as if something was spoken figuratively whilst a literal physical portrayal of the words was depicted. So comics, whilst

bearing the textual and visual traits of prose texts and films, are a unique medium that combines words and images in a way that neither prototypical prose texts nor films can.

Eisner (1985, 2008a) and McCloud (1993) refer to comics as 'sequential art' (1993: 5-9). Chute (2008) refers to them broadly as 'graphic narrative' (2008: 453). Both descriptions imply that comics tell stories pictorially. Comics go a step further than written texts by providing images, and these images are combined with words to create a whole reading experience. Eisner (1996, 2008b) states:

The reading process in comics is an extension of text. In text alone the process of reading involves word-to-image conversion. Comics accelerate that by providing the image. When properly executed, it goes beyond conversion and speed and becomes a seamless whole. In every sense, this misnamed form of reading is entitled to be regarded as literature because the images are employed as a language.

(Eisner 2008b: xvii)

Eisner (1996, 2008b) says that comics are a configuration of words and imagery that "fills a gap between print and film" (2008b: xvii). But treating the images of comics as mere extensions of text does not seem right when they have the capacity, and sometimes do, to operate on their own. Comics can be made from a mere sequence of images, or images do not always directly relate to or come from the words presented with them. The processing of images in comics is entitled to be considered a form of (visual) reading and even to be regarded as literature as images are being used as a visual language to tell a story.

McCloud (1993) specifically defines comics as: "[j]uxtaposed pictorial and other images in deliberate sequence, intended to convey information and/or produce an aesthetic response in the viewer" (1993: 9). He points out that film "before it's projected [...] is just a very very very very slow comic" (1993: 8). For McCloud, comics do not necessarily have to contain words. But Harvey (2001) disagrees with this, saying that: "It seems to me that the essential characteristic of 'comics'-the thing that distinguishes it from other kinds of pictorial narratives-is the incorporation of verbal content[...] And the history of cartooning-of 'comics'-

seems to me more supportive of my contention than of his" (2001: 75-76). Comics can be purely pictorial in telling a story as McCloud says, but that is not a reason to place more importance on images than on words or to neglect or underestimate the role of words in comics. The textual aspect of comics is as important as the visual aspect. Most comics are known to employ both text and images in telling a story, indeed, a combination of words and images is regarded to be the typical content of comics. Purely pictorial comics are uncommon. The balance between words and images in comics is not always an even one though. Some comics or certain panels within a comic may place more emphasis on images over words and vice versa, so the significance of words and images in comics can vary from comic to comic or panel to panel. Not all comics follow the same format and layout and will treat words and images in equal capacity. There are comics that are more visual than others whilst some may incorporate heavier use of text.

Whether comics have words with their pictures or not though, the creation of a narrative temporality that can be followed across a page (often in non-linear patterns) through panels is common to all comics, and this is supported by both words and images. Panels containing text and pictures divide space and time in comics into a series of "unconnected moments" and are separated by blank spaces called 'gutters' (McCloud 1993: 67, 66). Chute (2008) describes panels as "the most basic aspect of comics grammar" and McCloud (1993) calls them "comics' most important icon" (2008: 454, 1993: 98). The gutters between the panels also play an important role in comic pages and are a unique feature of the medium. They provide the background canvas upon which panels are laid out and arranged, split the borders of panels to present the pictures as an arrangement of separate, 'snapshot' moments, and act as linking transition spaces from one panel to the next which readers must use their imagination to fill in and create a 'moving' narrative sequence of events from.

1.4 The comic debate: a lower form of reading or a visual-verbal literature?

Compared to prose texts, comics have for a long time been held in lower regard and treated, as McCloud says, as "crude, poorly-drawn, semiliterate, cheap, disposable kiddie fare" (1993: 3). Eisner (1996, 2008b) sums up the general attitude toward comics:

Since comics are easily read, their reputation for usefulness has been associated with people of low literacy and limited intellectual accomplishment. And, in truth, for decades the story content of comics catered to that audience. Many creators are still content with furnishing little more than titillation and mindless violence. Little wonder that encouragement and acceptance of this medium by the education establishment was for a long time less than enthusiastic.

(Eisner 2008b: xv)

Eisner claims that because of the predominant art in traditional comics, "comics as a reading form was always assumed to be a threat to literacy" (2008b: xv). This is perhaps the reason for the general stigma surrounding comics and for why many consider it a form more suited to children and teens. There is a perception that comics are an unchallenging type of text that relies heavily on the use of pictures to tell stories. Those that read comics regularly are commonly branded as comic book 'nerds' or 'geeks' (like the portrayal of 'Comic Book Guy' in *The Simpsons*) and are seen as somehow immature for it.

Because of their visuality, comics are commonly viewed as inferior to written literature. But there has been a recent change in this view as studies into comics point out that there is actually a complex process involved in decoding the unique word and image narratives. There are a range of views on how words and images interact in comics and how readers read them, as evidenced by the collection of essays in Varnum and Gibbons' (2001) *The Language of Comics: Word and Image*. Because of variation in how words and images can interact in comics, the reading process is not a straightforward one, challenging readers to keep track of and put together two very different modes in order to construct a narrative that

communicates a story. McCloud (1993) describes how readers must make sense of the framed 'snapshot' moments of panels by connecting them together and constructing a temporality/time-frame from the sequence of depicted events. Causality and motion are projected onto the blank space of gutters separating panels in order to link the sequence of pictures together in an understandable way. There needs to be a substantial degree of reader involvement with a comic text in order to interpret its narrative, as not everything in a comic is told directly or visibly shown; readers need to 'fill in gaps' between the panels of pictures to make sense of them (McCloud 1993: 66-93, 106). Chute (2008) also points out how the reading of graphic narrative can place more demand on readers' cognitive skills and thus slow down the rate of narrative processing, as the layout of and positioning of components on a comic page may require re-readings in order to ascertain or correct the order and/or direction of narrative (reading is often non-linear, occurring in any direction in comics). Thus the reading of comics could involve a high degree of cognitive engagement (Chute 2008: 460). Comic readers must often monitor and take in several elements on a page at once, both in words and images, in order to have a full and complete reading of a comic. Each comic panel contains multimodal combinations of words and images that must be processed simultaneously. This is conceivably a more complex task for readers and might be expected to take longer to perform than just reading the text from a book.

It is arguable that comics are no less complex and literary (by this I mean an acceptable and higher-regarded form of reading) than the written narratives of books. With their bimodal combination of words and images, it is clear that comics are a unique medium that employs a different set of tools, strategies and rules for their narrative. More attention on and study of this visual-verbal medium would reveal more about the interaction between words and images, the authorial techniques and the reading processes involved in comics, and thus could go some way to dispelling the general view that comics are a somehow less

sophisticated and lower form of reading. There has been little in the way of academic studies on comics and hence it is a medium that needs more scholarly attention.

1.5 Literature on comics

Whilst Eisner's (1985, 2008a) *Comics and Sequential Art* and (1996, 2008b) *Graphic Storytelling and Visual Narrative* and McCloud's (1993) *Understanding Comics* are perhaps the most well-known books that seriously analyse comics, there are some other shorter essays and studies that address comics. In the United States, attention and interest on the study of comics has increased, as evidenced by the anthology of essays by various writers in Varnum and Gibbons' (2001) *The Language of Comics: Word and Image* published in Mississippi and the writings on graphic narratives and comics of Hillary Chute (2008) from the University of Chicago.

The academic literature on comics is limited, but in this section I will outline some of the other texts I have come across which provide background for the subject of this thesis: Saraceni's (2003) book *The Language of Comics*, Walker's (2003) linguistic investigation into *Judge Dredd* comics, Khordoc's (2001) article on the visual creation of sound effects in comics using examples from *Asterix* comics, and Herman's (2010) study which looks at the multimodal representation of narrative through words and images in the graphic storytelling of comics using a page from *The Incredible Hulk* comics.

Saraceni (2003) applies linguistic concepts and metalanguage to comics. It addresses linguistic topics of cohesion, repetition, coherence, semantic fields, inference, point of view and, relevant to this thesis, speech and thought presentation in comics. In his chapter on speech and thought presentation, Saraceni states that speech and thought are presented directly in comics in speech and thought balloons (2003: 62). And he points out that the voice

of the narrator occurs not only in captions, but can 'intrude' into the voices of characters in their speech and thought balloons too, though he claims it happens more frequently in thought presentations and monologues in order to "inform[...] the reader about certain facts in the story" (2003: 64-67, 66). "This happens because", says Saraceni, "the presentation of speech and thought is [...] artificial, which always requires the narrator's intervention, and the characters' voices can never be reported in a completely faithful manner." (2003: 69). The chapter on point of view in comics demonstrates how the angle from which panels are drawn: can create deictic meanings and effects, such as distance and proximity and subjectivity and objectivity; can define the positions of characters within the story and the reader's in relation to scenes; can place the reader close to or in the same position as a main character in order to identify more closely with him/her, which can create internal narration visually; and can allow the reader access to characters' emotions and feelings, especially through close-ups of facial expressions (2003: 71-84). Saraceni's book introduces ways of applying linguistic concepts and theories to comics, but it is meant to act as a springboard for further linguistic analysis of comics rather than be a detailed study of or informative guide to it. So whilst it is a useful starting point for approaching comics with linguistic tools of analysis, it serves simply to show how linguistic concepts and theories can be adapted to the multimodal medium of comics and encourages further linguistic study of comics.

Walker's (2003) investigation into the linguistic features of early and recent *Judge Dredd* comics using corpus techniques looked at the text components (speech balloons, thought balloons, captions, etc.) of *Judge Dredd* comics from 1977/78 and 2002/03. Its results revealed that speech balloons were the predominant source of words in *Judge Dredd* comics, suggesting that the narrative of *Judge Dredd* comics is told mostly through the spoken words of characters, and a decrease in the use of captions and thought balloons since 1977/78 suggested a change in the structure of *Judge Dredd* comics over its twenty-five year

long history. The spoken language of characters in speech balloons was found to produce linguistic features such as contraction, negation and frequent occurrence of forms of 'be'; high pronoun usage related to how the characters referred to and interacted with one another; and a lack of coordinators and subordinators was indicative of short sentence length resulting from limited text space within comic panels. And another difference found between the *Judge Dredd* comics of 1977/78 and 2002/03 was the use of captions for internal narrative in 2002/03 and for third person or external narration in 1977/78. There was thus a greater difference in linguistic features between captions and balloons in the earlier *Judge Dredd* comics as opposed to the 2002/03 comics which displayed no marked linguistic differences between captions and balloons. Also, though balloons were limited in the *Judge Dredd* comics of both eras, but there were more in the 1977/78 comics. These findings from Walker's study show some of the linguistic features of a particular comic series which results from the text structure that allows only limited word space and from the progression of narrative through the words of characters and the interaction between characters. The use of only *Judge Dredd* comics limits the generalisability of this study to other comics, but it is a useful starting point for approaching the language of comics, making some important initial observations about the discoursal, interactive and limited-spaced nature of comic text.

Khordoc (2001) wrote about how sound effects are created visually in comics. Looking at examples from *Asterix* comics, she argued how the decoding of visual symbols in comics to produce sound effects in the mind was a skilled process performed by readers and explored the ways in which speech balloons could convey a variety of sound effects, such as spoken words, volume, tone of voice, accents and even the sound of thoughts. Khordoc described speech balloons as both linking and separating text and image in comics, being a unique feature of the comic medium that can create the illusion of sound. They signal that a character is speaking and identify the speakers of words with their tails. The positioning of

speech balloons mimics the order of conversations; their shape and colour can signal the way in which words are spoken, like jagged balloons indicating a shocked or angry tone of voice; the size of letters can indicate the volume of voice and different font types can be used to signal a different language or a different way of speaking words; and pictorial symbols can replace text in speech balloons, such as in the symbolic substituting of rude language which covers up the actual words spoken but still conveys their force (e.g. *!!*#\$\$*?!). In addition to speech balloons, rectangular boxes, usually yellow in background and without tails, present the words of a narrator, and there are words that lie outside of speech balloons which are usually sound effects or onomatopoeia (e.g. BLAM!). Khordoc also refers to cloud-shaped thought balloons with tails made up of a series of little bubbles or clouds as 'silent balloons' (2001: 170), "speech balloons which, like the narrator's yellow, rectangular balloons, do not actually convey sound" (2001: 169). These 'silent balloons', that present what a character is thinking, can contain pictorial symbols as well text, such as the image of a light-bulb to represent an idea. And there are 'silent balloons' that use punctuation to represent what a character is feeling, such as question and exclamation marks to convey confusion, surprise and perplexity, and these 'silent balloons' can be round-shaped like the typical speech balloon rather than cloud-shaped like thought balloons. Khordoc highlights how speech balloons in comics work visually as well as textually to convey information such as sound effects and thus shows how readers must not only read text in speech balloons, but decipher symbols and visual information in them as well. Reading comics involves being able to draw links between pictures and text; it is not enough to simply read text and look at pictures separately.

Herman (2010) performs a multimodal analysis of a page from *The Incredible Hulk* comic. He looks at the representation of narrative through words and images in the graphic storytelling of comics. In the page from *The Incredible Hulk*, he explores how multimodality

affects the narrative realisation of character. He calls to attention the importance of considering both the interplay of multiple semiotic channels (words and images in comics) and the cognitive aspects of storytelling, what Herman refers to as ‘semio-logic’ and ‘story logic’, in analysing narrative in comics and other multimodal texts. Herman explains how readers interpret a physical and mental character transformation in *The Incredible Hulk* through the visual and textual cues. Background colours and visual details on a character establish a constant structure in the panels whilst noticeable changes in the speech of the character as well as an altered appearance suggest the metamorphosis of Dr. Banner’s character into that of the Hulk. A balance between constant and changed visual and textual details creates the impression of the passage of time as a character undergoes a dramatic transformation. Also, the presence of narration that is external to the world in which Banner’s character undergoes his transformation into the Hulk indicates ‘multiple reference worlds’, one in which an external narrator tells the story of the Hulk’s creation and one in which the Hulk’s transformation occurs (2010: 83-87). From this analysis of both words and images, Herman demonstrates the multimodal creation of narrative in comics. But though Herman takes into consideration both the visual and textual aspects of a comic and accounts for multiple storyworlds in it, he does not tell us how exactly to go about analysing the interaction between words and images in comics. He only looks at one example from *The Incredible Hulk* and makes a subjective interpretation and analysis of it. He highlights the need to address both the multimodality of a text and the interpretation of it, but he does not suggest how this could be conducted in other comics. This issue of multimodal analysis is something I address in chapters 3 and 4 where I discuss the analysis of images in comics (chapter 3) and identify both visual and textual narration types and categories in them (chapter 4).

1.6 Summary

This thesis is a linguistic study of narration and speech and thought presentation in comics. In the chapters to come, it tests the application of linguistic models of narration and speech and thought presentation on comics and in so doing, identifies types of narration and speech and thought presentation in comics. The models of narration and speech and thought presentation that have been used are: Fowler's (1986) 'internal' and 'external' narration types, the narrative categories from Simpson's (1993) 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales. Comics present an interesting choice of data for this study because they are multimodal texts that possess both textual and visual aspects due to their combined use of words and images. They are a little studied area in need of more academic attention.

Authors who have written about comics from an academic perspective, like McCloud (1993) and Eisner (1996, 2008b), have challenged the perception that comics are non-literary material, arguing that the sequential images of comics are employed as a visual language and thus constitute a form of reading, and that the reading of 'graphic narrative' can be more demanding on readers' cognitive skills (Chute 2008).

Other academic writings on comics which bear some relevance for this thesis include: Saraceni (2003), Walker (2003), Khordoc (2001) and Herman (2010). Saraceni's (2003) *The Language of Comics* has chapters that address point of view and speech and thought presentation in comics which are to be the subjects of chapters to come in this thesis. Walker's (2003) corpus analysis of the text components of early and modern *Judge Dredd* comics provides some interesting observations on the use of speech and thought balloons and captions in comics. These textual components of comics are to be the focus of much of this thesis. Khordoc (2001) looks at the creation of sound effects in speech balloons through

visual markers like font size, the shape and colour of balloons and pictorial symbols. This visual aspect of dialogue presentation in comics is something I will also address in my discussions of direct speech in comics. Herman's (2010) multimodal analysis of *The Incredible Hulk* takes into account both its words and images in creating a narrative. It is with regard to the multimodal nature of comics that I have attempted to identify both visual and textual types of narration in them in chapters 3 and 4.

In the next chapter, I will be providing an overview of background literature on narration which will include: Chatman (1978) and Short's (1996) models for narrative discourse, Genette (1972) and Rimmon-Kenan's (1983) definitions of 'focalization' or point of view in narration, Fowler's (1986) internal and external narration types and Simpson's (1993) modal grammar of point of view. The literature outlined in chapter 2 will relate to chapters 3 and 4.

Part One

Narration in Comics

Chapter 2: Models of Narration

2.1 Introduction

In this chapter, I discuss some of the background literature on narration and introduce the two models of narration that I will be applying to comic data in the next chapter (Fowler's (1986) internal and external narration and Simpson's (1993) 'modal grammar of point of view'). I also spend a section talking about some of the literature on narration in film from film studies. This introduces us to narration in a multimodal medium (films are a multimodal medium because they narrate stories through more than one mode, in both sound and images). To begin with, from section 2.2 to 2.4, I provide an overview of the basic key linguistic concepts of narration. This serves as an introduction to narration, providing us with a theoretical foundation in narration from which we may begin to analyze narration in comics in the next chapter. In section 2.2, I discuss Chatman's (1978) 'participants in the narrative communication situation'. In section 2.3, I outline Short's (1996) 'discourse structure of fictional prose'. These models lay out the participants and discourse levels involved in any narrative communication, including in comic narration. In section 2.4, I deal with the concept of narrative point of view or 'focalization' (Genette 1972), which is a central concept in models of narration and which is identifiable in comic narration too. Following this overview of the key linguistic concepts of narration, in sections 2.5 and 2.6, I then introduce the two models of narration that I use to analyze comic narration in the next chapter: Fowler's (1986) internal and external narration and Simpson's (1993) 'modal grammar of point of view'. In section 2.5, I outline Fowler's (1986) internal and external narration types. In section 2.6, I outline Simpson's (1993) 'modal grammar of point of view'. I apply Fowler's (1986) distinction between internal and external narration and the narrative categories of Simpson's

(1993) 'modal grammar of point of view' to comic data in the next chapter. Finally, in section 2.7, I provide a summary of this chapter's contents, highlighting the main points of each section. This provides us with the necessary foundation in narrative literature and models for the next chapter which uses Fowler's (1986) and Simpson's (1993) models on comic data.

Narration can occur in first, second or third person using first person pronouns 'I' and 'me', second person 'you' or third person 'he', 'she', 'him' and 'her'. I exclude second person narration from this thesis though as it is irrelevant. I have not seen any instances of second person narration in comics and so I treat this type of narration as non-occurring in comics. The narrator may or may not be a participant character in the story s/he tells and s/he can be restricted or unrestricted in knowledge and point of view. If a narrator is a character within a story, s/he is an 'internal' narrator (Fowler 1986) who will tell the story from his/her own first person perspective:

I was in Madrid once and saw the living statues in Plaza Mayor. It crossed my mind. Who would I be? I thought of Picasso. They named the airport in Malaga after him. Then I thought of Lorca. I saw a plaque for him in Benal Madena. I looked up from the street and there it was. But how does a poet dress?

(Minhinnick 2012: 93)

This type of narration is restricted to the point of view, knowledge and mind of the character-narrator, it is limited. A narrator who is not directly involved in the story s/he tells, but is a persona outside of it, is an 'external' narrator (Fowler 1986) who typically tells the story in third person. External narrators may be omniscient with unlimited knowledge and information and unrestricted abilities to access any time, location or the mind of any character in the story:

Charlie Minton, fifty-seven years old, twice married, father of one, woke up and for a moment didn't know where he was. It was a familiar feeling: over the years he'd woken up in boarding houses, tents, three-, four- and five-star hotels, shacks, on the back seats of cars and airport floors, in Beirut, Tokyo, New Orleans, Rio and Pretoria, and had had the same momentary feeling of dislocation. It was part and parcel of the

itinerant, unsettled life he had once chosen for himself and sometimes still hankered after. Now, he thought, this grey light could only be England, and as he came more fully into the day something even worse occurred to him, which was that he was at Ashenden Park.

(Wilhide 2012: 2)

Or an external narrator may display a restricted point of view. S/he may tell a story objectively like a factual report with no access into the minds or point of view of characters:

Three days later, just past nine in the morning, Violet took two guineas from the old tobacco tin hidden beneath a loose tile in the front-room fireplace, picked up her big tin market box, and left her house. It wasn't market day, though. She crossed the quiet square and set off up Northern Road towards the railway station.

(Ferguson 2012: 33)

An external narrator may also adopt the restricted perspective of a character in the story, narrating still in third person but conveying the limited point of view of the story character:

Katie shaded her eyes. She heard sirens, many sirens, screaming, wailing. Something was wrong, oh, my; so very wrong. Katie had never heard so many sirens crying at one time.

(Oatman High 2012: 114-115)

Whatever form it takes, narration exists in any story-telling medium, in books, films and comics. In the telling or narration of any story, there must always be a narrator present to tell or narrate the story. Whilst the narrator of a prose text narrates in words, the narrator of a film must narrate through moving images and only sometimes may use verbal narration (as in voice-over narration). Comic narrators use both words and images to narrate a story.

To provide a foundation for the discussion of narration, the following two sections will outline Chatman (1978) and Short's (1996) models for narrative discourse which show all the participants involved in a narrative communication situation.

2.2 Participants in the narrative communication situation

In this section, I explore the different participant structures for narration proposed by Chatman (1978) and Rimmon-Kenan (1983). Figure 2.2a (below) is an early representation from Chatman (1978: 151) of the communicative process involved in narration. It proposes the participants for a narrative communication situation:

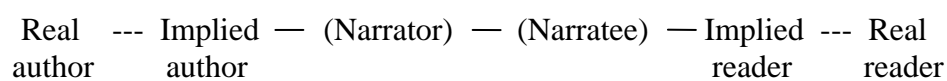


Fig. 2.2a

The real author and real reader at the ends exist outside of the narrative world; they are not part of the narration of the text. Instead, they are 'represented' by the implied author and implied reader. The implied author is the governing consciousness of a text that may or may not be invisible and silent; s/he or it is the entity who designs the whole of the text and who sets its norms and guides general attitudes embodied in it. The implied author is separate from the real author as s/he is a persona that acts in the real author's stead and can embody different ideas, beliefs and emotions from him/her. The implied author is often more knowledgeable, morally superior and consistent and stable in character than the real author who can take on different personas in different works. And different from the narrator too, the implied author is described by Chatman to have 'no voice', 'no direct means of communicating' (1978: 148), unlike the narrator who is the narrative 'voice' or 'speaker' of a text. So whereas the narrator of a text is obvious and immediately perceivable from his/her words, the implied author is subtle and inferred from the text. Like the implied author, the implied reader too is inferred and is different from both the real reader and the narratee. Comic texts must have a real author and a real reader too, and a narrator or implied author

and a narratee or implied reader. Comic stories are narrated through a combination of words and pictures, so there is textual and visual narration. A narrator's voice will appear through words and a narrator's visual perspective will be conveyed through images. Sometimes, the visual narrator of images may not be the same as the verbal narrator of words as different narrative viewpoints may be adopted by each. Likewise, the narratees of the visual and verbal narrators of comics can be different too.

Chatman states that every text has an implied author and implied reader, but a narrator and narratee are optional. If there is no narrator and narratee, narrative communication will occur between the implied author and implied reader. Rimmon-Kenan (1983) disagrees with Chatman here, pointing out that a 'voiceless' implied author cannot take the role of a 'speaking' narrator and be directly involved in the narrative communication situation. Rimmon-Kenan also objects to Chatman's treatment of the narrator and narratee as optional in narrative communication, arguing that every tale needs a 'teller', someone to speak it. Thus for Rimmon Kenan, the narrator is a minimal requirement for the narration of a text. And similarly, a narratee too is needed as the recipient being addressed by the narrator. Even when the narratee is implied or the narrator becomes his/her own narratee, there is always a narratee that is being narrated or 'spoken' to; a text must be directed at a narratee. The real author, real reader, narrator and narratee are the only participants in narration that Rimmon-Kenan treats as essential and relevant (Rimmon-Kenan 1983: 87-89). I share this view that there is an author, reader, narrator and narratee for every narrative text. This is because the author of a narrative text will communicate to a reader through the voice and persona of a narrator (who may or may not be the author's own voice and persona) and this narrator must address a narratee (who may or may not be the reader). An implied author and implied reader are unnecessary because there is no reference to or direct address of them in a narrative text. The implied author and implied reader's narrative positions and roles normally coincide with

those of the real author or narrator and real reader or narratee. But missing from this list of narrative participants are the characters in the story. Short (1996) includes story characters amongst the narrative participants in his 'discourse structure of fictional prose' which will be discussed next.

2.3 The discourse structure of fictional prose

Unlike Chatman (1978) and Rimmon-Kenan (1983), Short's (1996: 256-257) 'discourse structure of fictional prose' (figure 2.3a below) includes the characters in a story amongst the narrative participants. In addition, Short's (1996) 'discourse structure of fictional prose' structures prose narration into three levels of discourse:

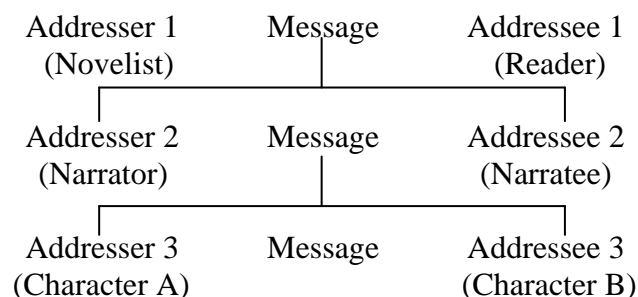


Fig. 2.3a

The basic discourse structure of a novel consists of three levels and six participants. The first level of discourse involves the novelist or actual author and the actual reader. The second level of discourse is between the narrator and the narratee. The third level of discourse occurs between two characters within a story. On each level of discourse, messages are communicated between the addresser and addressee participants: the author tells the reader a story, the narrator is the persona or voice which tells the story to an intended narratee, and a character within the story may interact with another character. It is not always the case

though that a prose text will operate on three discourse levels with exactly six participants. Sometimes levels can be merged or 'collapsed' together (Short 1996: 260). In first person narratives where a character also acts as the first person narrator, the character-character and narrator-narratee levels may be brought together, leaving just four participants (the author-reader and narrator/character-narratee/character levels). In non-fictional autobiographies, all three levels may be collapsed together because the actual author is also the first person narrator of his/her story and a character within it, so only one discourse level would be operating. There can be multiple narrators, narratees and characters in a story too, giving rise to more than six participants in total. If a character in a story (character C) writes a letter to someone, s/he could become a second narrator (narrator 2) with his/her intended recipient (character D) becoming another narratee (narratee 2). This would be in addition to the first narrator (1) and narratee (1) and characters A and B. Figure 2.3b (below) is the discourse structure for a prose text involving two narrators and narratees and two sets of characters:

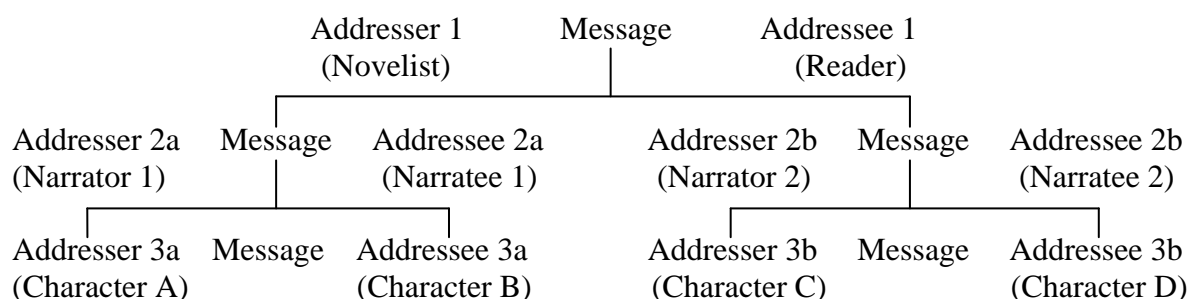


Fig. 2.3b

There are a total of ten participants in the discourse structure of figure 2.3b. If character C was narrator 2b and character D was narratee 2, as would be the case if character C had written a first person letter addressed to character D within the story, the narrator 2-narratee 2 and character C-character D levels would be collapsed together into one level. A total of eight participants would then result. If the narrator 1-narratee 1 and character A-character B levels were also collapsed together, there would be a total of six participants over two levels (level 1

consisting of the novelist and reader and level 2 consisting of two sets of collapsed narrator/character-narratee/character levels).

Short's (1996) discourse structure of fictional prose explains the presence of multiple viewpoints in a narrative text depending on the number of participants involved and the collapsible discourse levels allows different types of first and third person narration to be accounted for. This is useful for comics where there can often be more than one viewpoint from more than one narrator and thus more than one type of narration. As I mentioned in the previous section (2.2), comics narrate through a combination of words and pictures, so they possess visual and verbal narration; the narrator whose visual point of view is adopted in the images and the narrator whose voice is projected through the written text may not be the same as one another and their viewpoints may differ. More than one type of narration can arise in a comic panel, for instance, first person narrative text that may be the voice of a character-narrator from within the story and a picture that is located from a third person visual narrative point of view; a first person verbal narrator and a third person visual narrator would both be present in this case. Whereas prose texts may be narrated by the words of a single narrator, comics are usually composed of narration from both a visual and a verbal narrator whose perspectives may or may not be the same. Because it is flexible enough to include more than one narrator for a text and includes characters from the story amongst the participants of narrative discourse, Short's (1996) discourse structure of fictional prose is more useful for comics than Chatman's (1978) participants in the narrative communication situation (from section 2.2), which only accounts for one narrator in a narrative text who, along with the narratee, is regarded as non-essential in a text, and which does not include characters in its participants of a narrative communication situation.

This and the previous sections have looked at models through which to understand the structure of narration and the participants involved in it. Narration occurs when a sender

communicates a message to a receiver. In a prose text such as a novel, the author is communicating a story to an unknown reader in written form. The prose text author adopts the voice or persona of a narrator who addresses a narratee in order to tell or narrate his/her story to a reader. The narrator of a prose text may or may not be the same as the actual author of the text and the narratee may or may not be the same as the real reader of the text. In a comic, the comic author(s) communicates a story to a reader using both words and images. The comic author(s) uses a combination of visual and verbal narration to narrate a story to a reader. The comic author(s) adopts the voice of a verbal narrator in words and the visual perspective of a visual narrator in pictures. Visual and verbal comic narrators and their narratees may or may not be the same as one another. Within the world of the narrated story, the narrator(s) creates characters who may communicate with one another. Characters in prose texts are created descriptively through words; characters in comics can be shown directly and visually in pictures as well as being referred to in words. Characters of a story are also able to act as the narrator of the story. A narrator will tell his/her story through his/her adopted point of view and the receiver will thus perceive and view the story through this narrative point of view. There are different types of narration dictated by narrators of differing points of view. The next section will discuss point of view in narration, also referred to as 'focalization' by linguists.

2.4 Focalization

The perspective or point of view that a narrator presents a story from is not necessarily his/her own. The point of view that a story is narrated from is called its 'focalization' by Genette (1972). The reason Genette uses the term focalization is because it is a more abstract term and avoids the specifically visual connotations of point of view (Genette 1972: 206). In

narration, point of view includes not only the visual orientation of a character, but his/her cognitive, emotive and ideological orientations too. Focalization encompasses the broader meanings of point of view in narration and aids in distinguishing perspective and narration from one another. It also avoids potential confusion with the usage of point of view (whether it is intended in a visual or broader sense). The character whose point of view is being focalized, who is the source of focalization, is known as the focalizer.

But focalization is ultimately just an alternative term for point of view. They are interchangeable terms with the same meaning and are identified by the same markers in narration. Not all may agree with Genette (1972) as well that focalization is less visual in connotation than point of view. Point of view is a particular outlook or perspective on something. It can be determined by psychological (cognitive, emotional, ideological) as well as sensory (auditory, olfactory, touch, taste, visual) perception. It is not necessarily a visual concept, but descriptions of visual perception are one of the most obvious and frequent markers of point of view. The understanding of focalization is no different from this and focalization can be just as visual as point of view depending on its markers. Genette's (1972) distinction between the terms is based on his own ideas about them. He treats point of view as a primarily visual concept, ignoring its non-visual aspects and thus not using its full meaning. Focalization is still a useful linguistic term to keep though. It creates a name for the source of a point of view: the focalizer.

When the narrator of a story narrates from his/her own point of view of events, the narrator and focalizer are synonymous and there is no distinction between the two. But when narration is told from the point of view of a character other than the narrator, the focalizer differs from the narrator and the distinction between focalization and narration is made clearer. We can see examples of these differing points of focalisation in the passages below:

I think the very name of Paris brought a rush of pleasure to me that was extraordinary, a relief so near to wellbeing that I was amazed, not only that I could feel it, but that I'd so nearly forgotten it.

(Rice 1976: 219)

Max Vandenburg promised that he would never sleep in Liesel's room again. What was he thinking that first night? The very idea of it mortified him. He rationalised that he was so bewildered upon his arrival that he allowed such a thing. The basement was the only place for him as far as he was concerned.

(Zusak 2007: 215)

The first passage, taken from Anne Rice's *Interview with the Vampire*, is narrated by and focalized from a first person narrator. This first person narrator narrates from his own personal perspective, conveying his own feelings and emotions. The second passage, from Markus Zusak's *The Book Thief*, is narrated by an external third person narrator but internally focalized from the perspective of the story character Max Vandenburg. Here, the narrator is not conveying his own point of view, but that of a character within the story, expressing a sense of the character's cognitions. Much of the wording seems more appropriate to the character than to the narrator, for example, 'What was he thinking that first night?' seems very much like a free indirect representation of Max's thoughts, a question he believably may have asked himself. Through the mediating voice and words of a narrator external to the story, Max Vandenburg's internal viewpoint, thoughts and opinions are being generated and reported indirectly.

It should also be noted that focalization does not only have a source (the 'focalizer') but also a target (the 'focalized'). Narratives are focalized *by* someone and *on* someone or something (Bal 1977: 29). Focalization has both a subject and an object. The subject ('focalizer') is the agent whose point of view directs the narrative; the object ('focalized') is what the focalizer perceives, whether it be a person or thing (Bal 1977: 33). In narratives where the focus changes frequently and there are switches between different points of view, such as in narratives with an omniscient narrator who dips in and out of different characters'

points of view, the focalizer and focalized will change with every point of view switch. So focalization can fluctuate throughout a text.

Rimmon-Kenan (1983) categorises focalization in two ways: position relative to the story and degree of persistence (1983: 74-77). Position relative to the story addresses whether focalization is external or internal to the story. External focalization is closer to the narrator and it is driven by the 'narrator-focalizer' (Bal 1977: 37). The positions of the narrator and focalizer are near to one another in this type of focalization. Internal focalization is based within the events of the story. This type of focalization often comes from a 'character-focalizer' involved in the story, but it can also sometimes be no more than an un-personified textual stance located within the world of the story like an invisible character. External focalization is a perspective close to the narrator's outside of the story world whilst internal focalization reflects the point of view of a story character or some other position inside the story world.

Degree of persistence refers to whether focalization remains consistent throughout the narrative. Focalization can switch or shift between more than one focalizer in a narrative. There can be a fixed focalization which maintains the perspective of one focalizer, variable focalization which moves between the perspectives of a couple of main focalizers, and multiple focalizations which shift through several focalizer perspectives (Rimmon-Kenan 1983: 76-77).

Rimmon-Kenan (1983) also discusses various facets of focalization: perceptual, psychological, emotive and ideological (1983: 77-82). These facets of focalization, especially the perceptual facet, are useful in the chapters to come for my analyses of visual points of view in images in comics. Through my analyses of comic data in later chapters, I show that focalization is present in the images of comics as well as in the written text, and that images

are capable of not only visual perceptual focalization (where we see what a character sees, as if through his/her eyes) but can convey psychological and emotive focalization as well.

The perceptual facet of focalization refers to perception through the senses, as in sight, hearing, smell, etc., and is determined by physical space and time. Spatially, focalization can take a distanced observer's bird's eye view from above of objects, characters and events of a story, which is the common position of an external narrator-focalizer. Or, when focalization is coming from a character or an unpersonified position within the story, it can be limited to the perspective of an internal character-focalizer; in this case, narration will be restricted to following and seeing through the eyes of the character-focalizer only. Temporally, external focalization can occur broadly in the past, present or future, whenever the narrator-focalizer wishes, but internal focalization is limited to the present time of the character-focalizer.

The psychological facet of focalization is concerned with the mind and emotions, dealing with the cognitive and emotive orientation of the focalizer towards the focalized. The cognitive component of psychological focalization includes knowledge, conjecture, belief and memory. External focalization has access to the unrestricted knowledge of the external narrator-focalizer whilst internal focalization is restricted to the knowledge of the internal character-focalizer. An external focalizer, in principle, knows everything about the represented story world, e.g. all the characters inhabiting that world, every event that has happened in it, the location of everything in that world, etc. An internal focalizer, being part of the represented story world, cannot know everything about it; s/he is limited in what s/he knows about his/her world, e.g. s/he cannot know of every event that has taken place or everything about every other character in the story (restricted in knowledge of who everyone is, their personal histories, their locations and their activities at any point in time). The emotive component of psychological focalization tackles the 'objective' and 'subjective'

distinction between external and internal focalization. The subjectivity of an internal focalizer will often be evident as his/her feelings, views, opinions and interpretations 'colour'/taint the description of things in the narration. Subjective internal focalization is exemplified when something is described through the views, feelings and opinions of a character, e.g. 'He was a monstrous behemoth of a man. One could imagine his huge, gorilla-like arms snapping a branch in two merely by wrapping around it.' External focalization is more objective due to the neutral and uninvolved stance of the external focalizer. The external narrator-focalizer presents an outside observer's emotionally-distanced viewpoint and is more likely to emphasize the speculative nature of his/her descriptions. S/he will often focus on describing the observable external behaviour of a focalized character, leaving the inner state of the character to be implied. Objective external focalization is exemplified by a more factual, unbiased and less opinionated description of something. It focuses on the external observable traits of a focalized character or object whilst suppressing internal descriptions of a character's feelings and emotions, e.g. 'He was a man of large proportions, bigger than most. His arms were thick and muscular, indicative of great strength.'

The ideological facet of focalization concerns the ideologies that set 'the norms of the text'. The general conceptual 'world-view' of a focalizer will be evident from his perspective; the 'norms' of the text are presented often through a single dominant perspective, that of the narrator-focalizer. The ideology of the narrator-focalizer is usually the authoritative one from which any other (subordinate) ideology in a text is assessed. In complex cases, the single dominant external focalizer may open up multiple ideological positions. The ideological position of a character may be represented through his way of seeing the world or his behaviour in it, or even through explicit discussion of his ideology. The norms of a narrator-focalizer also may be implicit in his story orientation or explicitly formulated. Ideology plays

a part in story as well as narration, contributing to the presentation of characters in addition to identifying focalization.

The perceptual, psychological and ideological facets may come from the same point of focalization, but they may also come from different focalizers. An example of clashing focalizers would be when the visual point of view of an internal character-focalizer is combined with the ideology of an external narrator-focalizer. This may be found in stories where an older version of a character looks back on his youth; he may describe his past experiences through the eyes of his younger self, but his narration would still adhere to the norms of his narrating older self's ideology, thus presenting the retrospective past tense position, view and opinions of the mature character-narrator as he describes the perceptions of his younger self.

Focalization in a text can be signalled by various linguistic indicators of viewpoint, such as naming, deixis (spatial, temporal and social), choice of lexis, syntax, evaluative adjectives and adverbs, verbs of cognition and perception, verbs and adverbs related to factivity, schema-oriented language, use of definite ('the') or indefinite ('a') articles to present known (given) or unknown (new) information, and event sequencing (Short 1996: 263-276). Indicators of viewpoint can be identified in two of the text passages used earlier:

Katie shaded her eyes. She heard sirens, many sirens, screaming, wailing. Something was wrong, oh, my; so very wrong. Katie had never heard so many sirens crying at one time.

(Oatman High 2012: 114-115)

Max Vandenburg promised that he would never sleep in Liesel's room again. What was he thinking that first night? The very idea of it mortified him. He rationalised that he was so bewildered upon his arrival that he allowed such a thing. The basement was the only place for him as far as he was concerned.

(Zusak 2007: 215)

In the first passage from a short story by Oatman High, the auditory perception of the character Katie is highlighted by the use of the verb of perception 'heard'. And an indirect presentation of her thoughts is given in "Something was wrong, oh, my; so very wrong." The use of the colloquial phrase 'oh, my' is indicative of Katie's voice because the words seem to be hers rather than the narrator's. In the second passage from Zusak's novel *The Book Thief*, the character Max Vandenburg's point of view is indicated by several markers. The use of an interrogative "What was he thinking[...]" presents Max's self-interrogative and self-berating thoughts. The deictic determiner 'that' in "that first night" indicates Max's temporal and mental distancing from the 'night' referred to. The verbs of cognition that indicate an opinion: 'mortified' and 'rationalised' convey Max's disgust and bewilderment at his own actions. The 'deontic' (Simpson 1993: 47-48) modal verb 'allowed' in "[...]he allowed such a thing" indicates permission and highlights Max's sense of shame in having given himself permission to indulge in an action that he felt he had no right to do. And the adverbial phrase "[...]as far as he was concerned" emphasizes Max's own personal views and opinions. These viewpoint markers convey Max's self-critical opinion. He is berating himself for having slept in someone else's (Liesel's) room. These example texts show a single viewpoint being emphasised, but when shifts in focalization occur in texts, the linguistic indicators of viewpoint will change as they become appropriate to other focalizers.

In comics, focalization is not limited to being conveyed only through written text, but through images as well. Narrative point of view is identifiable from the positioning or angle that we are shown a picture from. The visual viewpoints of first and third person focalizers are identifiable in images by determining whether an image is located from the point of view of a character in the story (internal first person point of view where we see things through the eyes of a character and are shown only what a character sees) or from a point of view that does not belong to any character in the story (external third person point of view where we

are shown things from the eyes of an outside, non-participating narrator). A visual perceptual focalization is identifiable in any image, but other types of focalization can be conveyed visually in images too. Mental states and emotions of characters could be conveyed by how images and things within them are portrayed. Visual factors like use of colours, visual effects (such as blurring and distortion of images) and focusing on particular targets of interest (whether characters, objects or locations) can all be used as indicators of psychological, emotive and even ideological focalization (see Rimmon-Kenan (1983) in passages above). Textual and visual focalization are both present in the words and pictures of comics and so more than one focalizer and type of focalization may exist at a time. Identifying focalization visually as well as textually is necessary for identifying both visual and textual types of narration in comics. In the next chapter, narrative point of view or focalization will be essential in identifying internal and external and first and third person types of narration in comics, visually in images and textually in written text.

Thus far, I have discussed some basic but important ideas and concepts in narration: the participants and discourse structure of narration and focalization. In the next two sections, I discuss two models for categorizing narration by Fowler (1986) and Simpson (1993). These two models propose types and categories of narration that can be applied to comics. In the next chapter, I identify these types and categories of narration in both the images and written text of comics.

2.5 Fowler's (1986) internal and external narration types

A basic narrative distinction that I have found applicable for comics comes from Fowler's (1986) model for categorising narration. This narrative distinction can be found in both the images and written text of comics and so is suitable for this multimodal medium. In his

Linguistic Criticism, Fowler uses Uspensky's (1973) distinction between *internal* and *external* perspective. He defines 'internal' narration as narration from the point of view of a character within the story and 'external' narration as narration from a position outside of any of the story characters' points of view. Internal narration is hence subjective whilst external narration is objective. Fowler splits each of these two types of narration into two categories, making up four in total: internal type A, internal type B, external type C and external type D narratives. Type A narration is narration that comes from within a story character's consciousness, revealing his or her feelings and opinions about events and characters of the story. Type B narration is narration from someone who is not a participant in the story but who possesses knowledge and insight into the minds and feelings of characters in the story - an 'omniscient' narrator. Type C narration is narration from outside of any story character's consciousness and which provides no privileged access to their private thoughts and feelings. Type D narration is also from outside of any character's consciousness and it highlights the limitations of the narrator's knowledge and his inability to access the minds of characters (Fowler 1986: 134-135). Type A narration is the most subjective and personal form of internal narration whereas type C narration is the most objective, neutral and impersonal form of external narration. Type A narration, whether in first or third person, highlights the point of view, feelings and opinions of the focalizing story character: 'I couldn't put my finger on what, but something about the man unsettled me. As his glassy gaze fixed upon me, the hairs on the back of my neck immediately stood up.' Type B narration, which occurs in third person, involves an omniscient narrator's account of the cognitions, feelings and perceptions of story characters: 'The more Johnny thought about it, the more he liked the idea.' Type C narration, always in third person too, is much like a factual report of a story, offering no opinions or judgements on the things reported: 'Jack walked into the shop. He picked up a chocolate bar from the counter and paid for it. Then he left.' Type D narration, sometimes

using first person pronouns, highlights the persona of the external narrator and his limitations in knowledge: 'The man glared at him. He did not look happy. He was probably furious.'

Fowler's distinction between internal and external perspectives stems from a basic distinction between subjectivity and objectivity in texts. But though this internal/external distinction is useful for narrative texts, Fowler's four narrative types derived from it are not without some problems. Internal type A narration is said to be able to occur in both first and third person narration. But it may become difficult to distinguish third person type A narration from third person type B narration, since a narrator with omniscient abilities to delve into the minds and perceptions of story characters may be present in both. The only difference between a type A omniscient narrator and a type B omniscient narrator would perhaps be the degree to which the omniscient narrator channels the point of view and mind of a story character; a third person type A narrator would more heavily focalize a character's viewpoint than a type B narrator. In this case, it is not so much that internal third person narration can be divided into two narrative categories of type A and B. I would argue that internal third person narration is separate from internal first person narration and that it should be omitted from type A narration. Type A narration would, in my opinion, be better being restricted to internal first person narration whilst all internal third person narration would come under type B narration. This would make the distinction between types A and B narration clearer and their identification simpler in any narrative text. The external type D narrative category also is questionable. It is less common and harder to identify than the other three narrative types. Fowler's definition of it is ambiguous. I question whether it warrants its own separate narrative category when it could perhaps just be considered an extension of external type C narration. Taking for example these constructed sentences: 'In his face, there was a look that could only be described as sheer terror. His eyes bulged and his skin had blanched. Taylor had seen that look before.', it is hard to tell whether this is coming from a

character's (Taylor's) or a narrator's perspective. It could be interpreted either way. The description of a face could be occurring through the eyes of the character Taylor (whilst being narrated by the external third person narrator) or through the eyes of the external narrator. These sentences could be categorized as either internal type B or external type D narration. The difficulty in identifying type D narration is thus evident. It can be hard to recognise and distinguish from other narrative types. It is dependent on markers of the external narrator's point of view which can coincide with or be mistaken for a character's point of view. The possibility of first person pronouns being used by an external type D narrator is also problematic. First person narration is usually, if not always, associated with a character involved in the story. So it is hard to imagine first person narration coming from an external narratorial source; if it does, one could question whether that narratorial source is in fact external. First person narration, by its nature, is of an internal perspective.

Despite these problems with Fowler's narration types, I am using the internal and external narration types in chapter 4 (section 4.2) to be applied to the text and images of comics.

2.6 Simpson's (1993) modal grammar of point of view

The problems with readily identifying Fowler's (1986) internal and external narration types make them difficult to apply to comics as well as prose texts. Fowler's four narrative types are not well-defined from one another and may overlap in some cases of narratives, for instance, some narratives may waver between internal types A and B narration. I have found categories of narration that are more transferable to comics from Simpson's (1993) 'modal grammar of point of view in narrative fiction', a development of Fowler's (1986) narration types in which Simpson distinguishes between *category A* and *category B* narratives.

Simpson defined category A narratives as being narrated in the first person by a *participating character* within the story. This category corresponds with Genette's (1972) *homodiegetic* narration as the narrator takes part in the story that s/he is narrating. An excerpt from the introduction section (2.1) demonstrates category A narration:

I was in Madrid once and saw the living statues in Plaza Mayor. It crossed my mind. Who would I be? I thought of Picasso. They named the airport in Malaga after him. Then I thought of Lorca. I saw a plaque for him in Benal Madena. I looked up from the street and there it was. But how does a poet dress?

(Minhinnick 2012: 93)

Category B narratives occur in the third person by an invisible, 'disembodied', non-participating narrator. They correspond to Genette's (1972) *heterodiegetic* narration. There are two sub-types of category B narratives: B in *narratorial mode*, B(N), and B in *Reflector mode*, B(R). B(N), in narratorial mode, is where the third-person narrative is told from a 'floating' viewing position, outside that of any character; it is only the 'voice' of an outside observing narrator that is telling the story. An example of category B(N) narration:

Three days later, just past nine in the morning, Violet took two guineas from the old tobacco tin hidden beneath a loose tile in the front-room fireplace, picked up her big tin market box, and left her house. It wasn't market day, though. She crossed the quiet square and set off up Northern Road towards the railway station.

(Ferguson 2012: 33)

B(R), in Reflector mode, is a third-person narrative that occurs from within the consciousness of a story character; the omniscient narrator moves into the mind of a particular character (the reflector) and narrates from his/her point of view. An example of B(R) narration:

Katie shaded her eyes. She heard sirens, many sirens, screaming, wailing. Something was wrong, oh, my; so very wrong. Katie had never heard so many sirens crying at one time.

(Oatman High 2012: 114-115)

Simpson further subdivided his category A and B narratives into *positive*, *negative* and *neutral* modalities, creating nine categories in total: A, B(N) and B(R) positive, A, B(N) and B(R) negative, and A, B(N) and B(R) neutral (Simpson 1993: 55-76).

'Positive modal shading' focuses on the signs of internal feelings and thoughts rather than inferences based on external observations. It highlights what Simpson refers to as *deontic* and *boulomaic* modal systems which foreground a narrator's desires, duties, obligations and opinions (e.g. verbs of obligation and desire in 'You *need* to go' and 'We *hope* you can stay'). And it suppresses *epistemic* and *perception* modal systems which leads to an absence of epistemic modal adverbs like *possibly*, *probably*, *maybe* and *perhaps*, modal auxiliaries like *might*, *could* and *must*, and perception modal adverbs like *evidently* and *apparently*. Generic sentences (e.g. 'Homes are the territory of women'), *verba sentiendi* (e.g. 'I *feel*', 'They *suffer*') and evaluative adjectives and adverbs (e.g. 'It was a *tempting* offer' and 'She sang *beautifully*') mark positive modal shading (Simpson 1993: 56-57).

'Negative modal shading' is concerned with the observation of external signs and conveys the limitations and potential unreliability of perception. It exhibits the epistemic and perception modalities that are absent from positive modal shading. Epistemic modal auxiliaries (see examples above), modal adverbs (see examples above), modal lexical verbs ('I *suppose*', 'I *assume*') and perception adverbs (see examples above) are commonly used. Structures indicative of perception ('It seems to be...', 'It looked like...' and 'It appeared to be...') and 'words of estrangement' ('I *must* have been...', 'I don't *know* why' and 'I still *wonder* whether...') are also typical of negative modal shading (Simpson 1993: 52-53, 58). The effects of alienation, bewilderment and estrangement are often created in negative modal narratives. Uncertainty about reported characters and events can be evidenced from the expressed lack of confidence in the truth of statements made. The modal auxiliary in a statement like: 'It *could* have been a wild animal' conveys a degree of doubt in the speaker on

what he is reporting; he is not totally certain of his statement. This is characteristic of negative modal shading.

'Neutral modal shading' is characterized by a complete lack of narratorial modality. It presents objective physical descriptions about characters and events, withholding subjective evaluations. Stories are told through 'categorical assertions' (e.g. 'They marched him out in the early morning hours. A few minutes later, there were gunshots. We never saw him again.' and 'Mother died three days ago of a heart attack. Today is her funeral.') with little attempt at psychological development, avoiding any deep exploration of thoughts, feelings and emotions. Neutral, unmodalized narrative texts can have a 'journalistic' feel in their use of factual reports and they are often described as 'flat' and non-reflective (Simpson 1993: 60-62).

A positive narration would display the signs of positive modal shading in its first person homodiegetic narration, as would the B(N) and B(R) positive narrative categories in their third person heterodiegetic narration from narratorial and reflector perspectives respectively. Likewise, the A, B(N) and B(R) negative narrative categories would be characterized by signs of negative modal shading. And A, B(N) and B(R) neutral would exhibit the signs of neutral modal shading (or rather lack of modality).

Simpson's narrative categories are easier to identify and less ambiguous than Fowler's (1986) internal and external narration types. It is possible to fit most types of fictional narratives into one of Simpson's narrative categories. The difficulties with Simpson's 'modal grammar of point of view' are that it may require some time to discern the types of modalities present in a text and to identify all the markers of modality (sometimes the type of modality may be ambiguous), and modalities may fluctuate, changing from passage to passage (a narrative text may switch between positive, negative and neutral modalities). In chapter 4

(section 4.3), I will be showing how Simpson's A, B(N) and B(R) narrative categories can be identified in comics, visually as well as textually.

2.7 Summary

This chapter has covered some of the key concepts and models of narration that I use in the next chapter for the analysis of narration in comics: Chatman's (1978) participants in the narrative communication situation, Short's (1996) discourse structure of fictional prose, focalization/point of view and Fowler's (1986) and Simpson's (1993) narration types.

Chatman (1978) named six participants in the narrative communication situation: the real author, the implied author, the narrator, the narratee, the implied reader and the real reader. Chatman regards the roles of narrator and narratee to be optional, but Rimmon-Kenan (1983) says they are essential to a text reasoning that the narrator is necessary as the teller of a story and that s/he must be addressing a narratee.

According to Short (1996), narration operates on three levels of discourse: the author-reader, narrator-narratee and character-character levels. These discourse levels can collapse into one another in certain types of narration, such as in first person narrative texts where a character of the story also acts as its 'I' narrator. In these first person narratives, the character-character and narrator-narratee levels would merge or collapse as the character and narrator are the same.

Focalization refers to the point of view that a story is narrated from. The focalizer is the character whose point of view is adopted. Focalization can be either external or internal, coming from a narrator's position outside of a story world or from a character's point of view within the story world. There are perceptual, psychological, emotive and ideological facets to

focalization. Linguistic indicators of focalization or viewpoint can include: deixis, verbs of cognition and perception, and evaluative adjectives and adverbs.

Fowler (1986) distinguishes between 'internal' and 'external' narration. Internal narration comes from the point of view of a character within the story. External narration comes from a position outside the point of view of any story character. Internal narration is hence subjective whilst external narration is objective.

Simpson's (1993) 'modal grammar of point of view' distinguished between first person homodiegetic category A and third person heterodiegetic category B narratives. Category B narratives can be in either 'narratorial' (B(N)) or 'reflector' (B(R)) modes, occurring from the position of an outside narrator (B(N)) or from a narrator reflecting a character's point of view (B(R)).

The next chapter addresses multimodal narration and discusses the analysis of images in comics, outlining a framework for analysing images from Kress and van Leeuwen's (1996) visual grammar. This visual framework enables me to apply Fowler's (1986) and Simpson's (1993) types and categories of narration, which have been outlined in this chapter, to images, so that they can be identified visually as well as textually in comics.

Chapter 3: Analysing Images in Comics

3.1 Introduction

In chapter 1, I stated that my aim for this thesis was to test the application of three linguistic models of narration and speech and thought presentation on comics: Fowler's (1986) internal and external narration, Simpson's (1993) 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales. Using these models, I identify types of narration and speech and thought presentation in comics that occur in prose fictional texts. This and the next chapters focus on applying Fowler's (1986) and Simpson's (1993) models of narration to comics. I will focus on speech and thought presentation from chapter 5 onwards where I discuss more fully the concept of a cline of speech and thought presentation which involves categories that are points on a scale, each adding an extra claim to faithfulness of report, from indirect to direct forms of speech and thought presentation. I will explain the categories of Leech and Short's (1981) speech and thought presentation scales fully in chapter 6. I outlined Fowler's (1986) and Simpson's (1993) models of narration in the previous chapter. They are used in this chapter to answer the first of my research questions from chapter 1:

1. What kinds of narration can be identified in comics, visually as well as textually?

Whilst Fowler's (1986) and Simpson's (1993) narrative models were designed for identifying types of narration in prose fiction texts, I show in this and the next chapters how their narrative distinctions and categories can be identified visually in images as well as in narrative text. This and the next chapters demonstrate how narration occurs both visually and

textually in the multimodal medium of comics and extend the applicability of Fowler's (1986) and Simpson's (1993) linguistic models of narration to comics, allowing types of narration to be identified in comics. I have used selected panels from comics throughout these chapters to demonstrate my points. My examples come from a variety of comics in order to show the different types of narration that comics are capable of. Not wanting to restrict my range of comic examples, I have used panels from comics both old and new. My intention for using such a broad range of comic examples is that I want to demonstrate how points of view and types of narration can be identified in any comic. In the next section, I begin this chapter by proposing a multimodal framework for analysing images from Kress and van Leeuwen's (1996) visual grammar. This visual grammar is used in applying Fowler's (1986) internal and external narration and Simpson's (1993) A, B(N) and B(R) narrative categories to comics in the next chapter. Section 3.3 discusses ways of analysing images from Kress and van Leeuwen (1996) which can be used as visual indicators of point of view. Section 3.4, using Kress and van Leeuwen's (1996) visual grammar and visual indicators of point of view, proposes ways of visually identifying Fowler's (1986) and Simpson's (1993) narration types and categories in images. Section 3.5 concludes this chapter with a summary.

3.2 A framework for analysing images

While the analysis of written texts has been a well-covered area in stylistics with useful linguistic tools available for the description and analysis of such texts, the analysis of multimodal texts which possess other semiotic modes such as visual images, colour, layout, typography, etc. has yet to develop adequate analytical tools for texts of this kind. Kress and van Leeuwen (2001) advocate the development of a common grammar that can be used for all the different modes and their interaction: "common semiotic principles operate in and

across different modes" (2001: 2). But Nørgaard (2010) points out that this approach is problematic in that analytical tools used for some modes may not work as well for other modes, what may work in analysing visual images may be less applicable to the mode of sound for instance: "Although the search for common semiotic principles and a common descriptive terminology would seem a noble cause with promising potentials, great care should clearly be taken not to force common concepts onto semiotic material that does not naturally accommodate such an approach." (Nørgaard 2010: 436). She thus argues not for a standardised set of tools and descriptive terms to apply across all modes, but for all of the different modes of a multimodal text to be analysed equally in significance in ways that are suitable for each of them (Nørgaard 2010: 436). She also emphasizes the importance of the interaction of all the modes in a multimodal text for the construction of meaning, describing the meanings created by multimodal texts: "not as a simple sum of simultaneous realisations of separate layers of meaning (e.g., verbal language + tone of voice + facial expression + gesture, etc.), but as a complex *interplay* of all these semiotic resources which is meaningful in itself[...]" (Nørgaard 2010: 436-437).

Gibbons (2012) advocates the use of a cognitive poetic approach to multimodal analysis. Cognitive poetics is a discipline which focuses on the cognitive experience of reading a text, analysing how a reader processes, understands and experiences a text. It focuses not just on the text or the reader alone, but on how they engage with one another. Gibbons (2012) proposes several cognitive-poetic frameworks to use in the analysis of multimodal texts, such as figure and ground, cognitive grammar, cognitive deixis, conceptual metaphor, conceptual integration and Werth's (1999) Text World Theory (2012: 26-37). Some of these frameworks will be useful in the paragraphs and sections to come, including text world theory (see pg. 61), conceptual metaphor (for figure 3.3b, pg. 68) and cognitive deixis (for figure 3.3h, pg. 75). By finding ways to apply the narration types and categories of

Fowler's (1986) and Simpson's (1993) linguistic models of narration to both the images and text of comics in this and the next chapters, the points of view, whether the narrator's or a character's, through which readers perceive and experience the reading of a comic text are made identifiable. The identification of visual and textual points of view in comics may be useful for a cognitive poetic analysis of a comic text and thus could provide a potential contribution to multimodal cognitive poetics.

My analysis of comics in this chapter focuses on their visual and textual modes and applying Fowler's (1986) and Simpson's (1993) models of narration to them. Fowler's (1986) and Simpson's (1993) models were developed originally for the analysis of narration in written texts, so as a consequence, I devote more attention throughout this chapter on their application to the visual imagery of comics. Because these linguistic models of narration have previously only been used on written texts, their application to the mode of visual images requires an approach different from the textual mode. Before I can begin applying Fowler's (1986) internal and external narration types and Simpson's (1993) narrative categories to comics, a multimodal framework for analysing images is required in order to identify narrative structures in images. Kress and van Leeuwen's (1996) 'grammar of visual design' proposes useful concepts for analysing images which are drawn from linguistics. Their aim was to create a visual grammar which could be used to "describe the way in which depicted elements - people, places and things - combine in visual 'statements' of greater or lesser complexity and extension[...]", "just as grammars of language describe how words combine in clauses, sentences and texts" (Kress and van Leeuwen 2006: 1). They observe that "the semiotic modes of writing and visual communication each have their own quite particular means of realizing what may be quite similar semantic relations" (Kress and van Leeuwen 2006: 46). Grammatical components of written language can have equivalents in visual elements, such as action verbs (e.g. 'doing', 'going') being realized visually by elements that

can be defined as *vectors* (which I explain below) and locative prepositions (e.g. 'in bed', 'at home', 'on the floor', 'upstairs') realized visually by characteristics that create the contrast between foreground and background like overlapping, the gradients of focus and the degrees of colour saturation (Kress and van Leeuwen 2006: 46). But Kress and van Leeuwen also point out that not all linguistic components and structures can be realized visually, and, vice versa, not all visual elements and structures can be realized linguistically (2006: 46). Some concepts and ideas are only possible to present visually and some only exist linguistically; some are more easily expressed visually and others more easily linguistically (Kress and van Leeuwen 2006: 46). What Kress and van Leeuwen refer to as a 'bidirectional transactional action', where two participants or 'Interactors' are connected by a line or double-headed arrow vector (2006: 74) which represents a back and forth, interactional and cyclical event between two interacting participants, is an example of a process which can be presented visually but not linguistically (2006: 76). And whilst 'Reported Speech' (e.g. 'She said that he had no idea') is possible linguistically, it becomes difficult to express visually with no direct form of representation; only 'Quoted Speech' (e.g. 'She said, I have no idea') can be presented visually in speech balloons (Kress and van Leeuwen 2006: 77).

Kress and van Leeuwen's (1996) visual grammar has roots in Halliday's (1985) functional grammar which construes all linguistic representations of actions, events and experiences of the world as process types and participants. Kress and van Leeuwen (1996) give visual equivalents for Halliday's (1985) material, behavioural, mental and verbal processes. They liken their visual 'non-transactional actions' to linguistic 'one-participant material processes' (e.g. 'He laughed', 'She disappeared'), 'transactional actions' to 'two-participant material processes' (e.g. 'He kicked the ball', 'She wants food'), 'non-transactional reactions' to the specific 'behavioural process' of looking (e.g. 'He looks'), 'transactional reactions' to the specific linguistic 'mental process' of visual perception (e.g. 'I see it'), visual

'mental processes' to only the linguistic 'mental processes' of cognition and affection (e.g. 'He knows', 'She likes'), and visual 'verbal processes' to only the linguistic 'verbal process' of quotation (e.g. 'She said, 'Hi' ') (Kress and van Leeuwen 2006: 76-78).

Kress and van Leeuwen distinguish between *interactive participants* and *represented participants* (1996: 46). Interactive participants are the participants who are communicating, such as the writer and the reader of a text, the speaker and the listener of a message, or the creator (artist) and the viewer of images. Represented participants are the participants who or which are communicated about by the interactive participants in their communication; they are the people, places and things which are represented in speech, writing or images. In text world theory (Werth 1999, Emmott 1997, Gavins 2005), represented participants are found within the imagined text world created by a text and interactive participants are located within the real discourse world outside of the text. Kress and van Leeuwen describe represented participants linked by *vectors* as being visually represented to be performing some action to or for each other (1996: 56). Vectors, like action verbs performed by grammatical subjects in language (e.g. 'I *walked*'; 'I' - the subject, 'walked' - the verb), show the direction of action performed by represented participants in an image. Stative verbs, however, which express a state rather than an action, like 'be', 'feel', 'know' and 'have', are not represented by vectors, except for the stative verb of 'seeing' which is represented by eyeline vectors formed from the gaze of represented participants (I discuss this further in the next paragraph). By having vectors as a visual marker of directional action, the basis for a visual grammar is created which is the key for Kress and van Leeuwen's (1996) grammar of visual design. A narrative visual proposition or statement is marked by the presence of a vector. In images, vectors are created by the oblique, often diagonal, lines formed by depicted elements (such as bodies, body parts, tools and objects) which are in the process of performing some action (Kress and van Leeuwen 1996: 57). A person pointing toward something in a picture

would be an example of a vector created by a person's straight arm, where the pointing person is the 'Actor' who is performing the act of pointing at something. The 'Actor' is the participant from whom or which a vector departs and to whom or which the vector may be connected (Kress and van Leeuwen 1996: 57). Grammatically, the Actor equates to the subject of a sentence from whom or which a verb action originates and is performed by (e.g. 'I run', 'I' - the subject, 'run' - the verb). When there is only one participant in a picture, this will be the Actor who is in a *non-transactional* process as the Actor's action has no target object or is not aimed at any recipient. This equates to the intransitive verb in language (a verb without an object) (Kress and van Leeuwen 1996: 61). When there are two participants involved in an action process within a picture, they are the Actor and the *Goal*. The vector originating from the Actor participant will be directed at the Goal participant, so the Goal is the participant at whom an action is aimed. This is a *transactional* process as an Actor's action is directed at a Goal. This equates to a transitive verb which takes an object (e.g. transitive verb in 'I left home' instead of intransitive verb in 'I am leaving'). The Goal equates to the object of a sentence which is the target or recipient of the subject's verb action (e.g. 'He kicked *the ball*', 'He' - the subject, 'kicked' - the verb, 'the ball' - the object). Transactional structures can be *bidirectional* with each participant playing the roles of Actor and Goal, for example, in presenting a speech exchange where both participants speak and listen to one another (Kress and van Leeuwen 1996: 62-63).

Not all vectors are formed by visibly drawn lines though. Eyeline vectors are formed from the direction of the gaze of one or some represented participants. This process is *reactional* and involves *Reactors* and *Phenomena* as opposed to Actors and Goals. The Reactor, a human or animal with visible eyes, looks at the Phenomenon, which can be another represented participant within the image, an interactive participant (the viewer of the image), or a narrative act occurring in the image (another narrative visual proposition such as a

transactional structure involving an Actor and a Goal) (Kress and van Leeuwen 1996: 64-65).

Another kind of vector observed in comics is the speech and thought balloons that connect depicted speakers or thinkers to the content of their speech or thought. The Phenomenon which is looked at by the Reactor in a transactional Reaction, and the content of a speech or thought balloon are not represented directly, but mediated through a Reactor, a 'Senser' (for thought balloons) or a 'Speaker' (for speech balloons) (Kress and van Leeuwen 2006: 68).

Vectors may not always be clear to see or straightforward to identify in images though. Sometimes the direction of a vector, the target it may be directed at (the Goal or Phenomenon) or even the source of the vector (the Actor or Reactor) may not be apparent which would make it ambiguous and difficult to define. Another potential problem with vectors can arise when there are several conflicting vectors in a picture which may present a complicated and confusing image with no straightforward main action being highlighted, for example, a picture with many crossing lines formed by several objects or bodies close together may not necessarily be focusing on any one particular vector or action in the picture, but on a broader, collective perspective of what is happening in the picture which may involve many objects or characters.



Fig. 3.2a (Hergé, *The Adventures of Tintin Vol. 7* (2011), pg. 119.)

In figure 3.2a, vectors are formed by Tintin's raised binoculars (in the first left panel) and then by his outstretched arm (in the right panel). Tintin's actions of seeing something out at sea (left panel) and then pointing toward it (right panel) are shown and the vectors formed by Tintin's binoculars and pointing arm (and finger) indicate the direction of his actions. Tintin is the Actor who is seeing and pointing at an unseen Goal. In the right panel, we are also able to see Tintin's eyes and thus his line of sight. An eyeline vector is formed as well here by the direction of Tintin's gaze which is aimed back toward us or rather the inside of the ship he is on. So, in the right panel, as well as being an Actor who is pointing toward a Goal located somewhere ahead out at sea, Tintin is also a Reacter who is looking for a Phenomenon located somewhere back on the ship (The 'Captain' whom he calls to). Like the Goal, the Phenomenon is also unseen. Tintin is also a speaker here who is calling to the 'Captain'. He is the speaking Actor in a verbal transactional process whose speech is directed at an unseen Goal recipient (the Captain).

In the next section, I discuss some of Kress and van Leeuwen's (1996) ways of analyzing images which I use as visual indicators of point of view.

3.3 Visual indicators of point of view

Kress and van Leeuwen (1996) discuss ways in which represented and interactive participants interact in and through images which can be used as indicators of point of view. These include: gaze, distance, subjectivity, horizontal angles and vertical angles. I will discuss each of these aspects of images in turn and explore their application to comics.

The gaze of represented participants in an image refers to whether or not they are looking directly at the viewer of the image. When they are, eyeline vectors are formed between the participants and the viewer, establishing contact between them. When a represented participant looks at the viewer, a visual form of direct address and thus a

'demand' for something from the viewer is created. The represented participant's gaze acknowledges the viewer with a visual 'you' and creates a relation with the viewer. When the viewer is not the object of the represented participant's gaze, then the viewer becomes the subject who looks at the represented participant as an object for observation. The absence of eyeline vectors from the represented participant directed at the viewer means no contact is made between them and the viewer's role becomes that of an invisible observer. In images where the represented participants do not look at the viewer, the represented participants are on 'offer' to the viewer as objects for impersonal viewing and study. So the presence of eyeline contact between represented participants and the viewer creates a personal interaction between them, whilst the absence of eyeline contact creates impersonal observation for the viewer (Kress and van Leeuwen 1996: 121-130).



Fig. 3.3a (Hergé, *The Adventures of Tintin Vol. 4* (2011), pg. 192.)

In the first left panel of figure 3.3a, the two represented participants, Captain Haddock and Tintin, are initially looking at each other as their gazes are directed toward one another. But then in the second panel, Tintin suddenly turns to face us, the viewers, with the front of his body and his face facing directly at us. An eyeline vector is formed and thus the effect of gaze contact is made with the viewer (i.e. the interactive participant). This contact between Tintin and the viewer is continued in the last right panel where Tintin even directly addresses

the viewer in his speech. Captain Haddock, however, seems to remain oblivious to the viewer throughout as he never looks toward us. So Tintin, at first in the first panel, is offered to the viewer as something to be simply observed, but then in the second and third panels, he demands the viewer's attention by establishing gaze contact with us. In the last two panels, Tintin becomes engaged in a verbal process with the reader where he is the speaker and the reader is the recipient of his verbiage.

In Kress and van Leeuwen (1996), the distance or frame size of an image is a choice between three main options: close-up, medium shot and long shot. These shots can also occur in varying degrees: extreme close-up, medium close shot, medium long shot and very long shot (Kress and van Leeuwen 1996: 130). Close-ups show the head and shoulders of a subject (extreme close-ups show anything less than that). Medium shots show a subject from around the knees and up (medium close shots start from around the waist and medium long shots show the full figure). In long shots, the full human figure takes up about half the height of the frame (very long shots are even 'wider' and the human figure becomes even smaller) (Kress and van Leeuwen 1996: 130). Kress and van Leeuwen (1996) claim that social distance is created by these lengths in frame. They claim that close-ups generate a close, personal distance and thus intimacy with the subject of an image as the viewer is brought near to the subject and his/her face (into his/her intimate and personal space). Medium shots are less personal and intimate than close-ups, but not as impersonal and distant as long shots. They keep a casual, social distance from a subject, treating him/her in a public manner like we would an acquaintance. Long shots create physical and social distance from a subject as the subject is located further away in the image and thus becomes impersonal to the viewer, like a stranger. In short, increasing visual proximity to a subject creates intimacy whilst distancing creates impersonal and 'far' social distance (Kress and van Leeuwen 1996: 130-135). Kress and van Leeuwen's (1996) link between visual and social distance works from the removed

third person perspective of the viewer though and does not necessarily account for first person character points of view in images. Forceville et al. (2014) mentions ways in which a first person point of view can be created in comics:

- showing a character from behind or over the shoulder so that the viewer can see what the character is seeing (Saraceni 2003). I would argue though that this is not a direct representation of a first person point of view where we would not be able to see the character whose point of view is being adopted. Instead, this is a third person point of view which is close to the character's and thus reflects the character's first person point of view;
- what film studies refer to as an 'eyeline match' where "shot A presents someone looking at something offscreen; shot B shows us what is being looked at. In neither shot are both looker and object present." (Bordwell and Thompson 2008: 240-241). The shots are replaced by consecutive panels in comics;
- and when an image's point of view "[...]coincides completely with that of a single character, thus creating a particularly strong affiliation with him/her. Sometimes the character through whose eyes we see the events of a story remains completely absent visually and the reader only sees what he or she does[...]" (Forceville et al. 2014: 490).

In images with first person points of view, social distance towards depicted characters may be less dependent on the visual distance of the image and more dependent on the first person character's relationship with the depicted character(s). And by adopting the first person position and point of view of a character, we automatically become closer to and more intimate with that character, even though we may not see him/her in the picture. Close-ups, medium shots and long shots can help us identify points of view in images, whether they are that of the narrator or of a character in the story. Close-ups can bring us closer to the point of

view of a character as we are brought visually nearer to a character's face or head, enabling a character's personal point of view and/or expressions to be reflected and highlighted. Medium shots can offer characters to us as casual and impersonal subjects for observation and so may convey an observing narrator's point of view of them. Long shots, which give us an impersonal and distant view of characters, offer us a spatially and socially removed point of view of the character subjects, and so would not convey the point of view of the characters within the frame but of either the narrator or another observing character. In these ways, the distance or frame size of an image can aid us in analysing narrative points of view in pictures.



Fig. 3.3b (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 63.)

Figure 3.3b demonstrates a close-up shot where we see the heads and shoulders of the represented participants (Tintin and Captain Haddock). Being brought near to the represented participants' faces as they discover a pile of hidden treasure allows us to be empathetically closer to and more personal with them and thus to share in their great moment of discovery and triumph. Stockwell (2005) equated 'empathetic identification' with 'spatial conceptualisation and distance', highlighting how emotions are often expressed in terms of space and distance as exemplified in forms of expression such as: 'They were very close to one another' and 'They grew apart and became distant from each other' (2005: 148). This metaphorical link between emotions and space and distance explains why being brought

visually and spatially closer to the characters in figure 3.3b also brings us closer to them emotionally and allows us to empathize to a greater degree with them, hence their surprise and delight at discovering a hidden treasure is experienced by the viewer as well.



Fig. 3.3c (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 75.)

Figure 3.3c shows close-ups where we see only the neck and head of a woman. The close-up shot is increased in the second (right) panel as we are brought closer still to the woman's face when she shrieks in horror. The closer shot of the second panel from the previous first panel produces the effect of zooming in on the face of the woman. By bringing us within intimate distance, these close-ups allow the viewer to feel closer to the woman and hence her fear and terror which are apparent from her expressions.



Fig. 3.3d (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 62.)

Figure 3.3d shows varying types of medium shots. The first two panels (on the left side) are medium shots which show the represented participants from around the knees upwards. The third panel is a medium long shot as it shows the full figures of the represented participants. The last panel (far right) is a medium close shot which shows the represented participants from around the waist and up. The medium shots of the first two panels offer us a casual view of Tintin and Captain Haddock. Then the third panel becomes a medium long shot in order to show all of Tintin as he leaps up in sudden excitement as well as Captain Haddock's and Snowy's (Tintin's dog) surprised reactions. The final panel moves a little closer to Tintin and Captain Haddock in a medium close shot which is located from behind the two subjects and looks over their heads and shoulders. This closer positioning to the two subjects brings us nearer to their points of view as they look ahead at something, so their points of view are being, according to Simpson's (1993) B(R) category of narration, reflected. A third person positioning and perspective is maintained though as our view is located from behind the two subjects which allows us to see them (as opposed to being located in front of them which would indicate a first person point of view). Tintin's pointing arm and finger also form a vector aimed in the direction of their Goal.

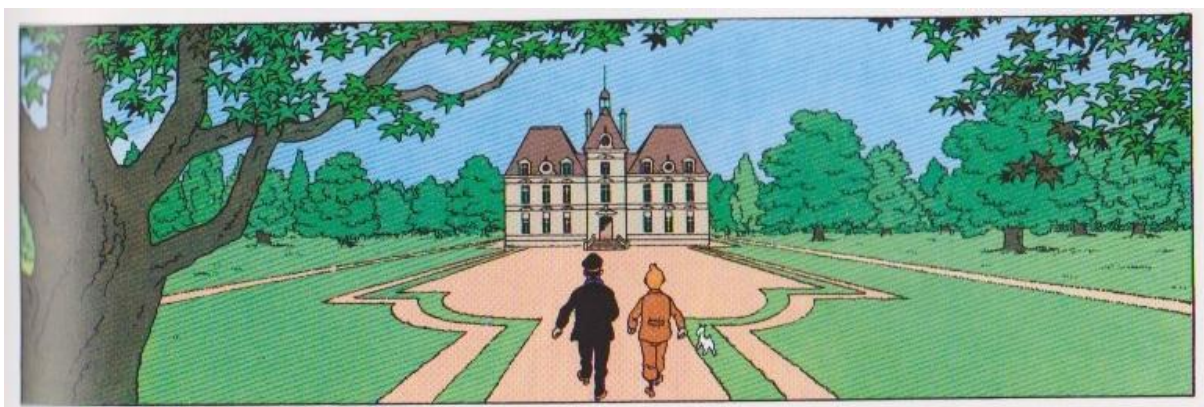


Fig. 3.3e (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 61.)

Figure 3.3e shows a long shot picture where the represented participants take up less than half the height of the picture. This long shot from a distance gives us a wide angle view of the manor house that Tintin and Captain Haddock are walking toward. It allows us a view of the vast grounds surrounding the house which emphasize the house's great wealth and status. And the diminished forms of Tintin and Captain Haddock contribute to indicating the great size of the house and its grounds. The use of long shot in this picture indicates an external narrator's (Fowler (1986)) perspective as it provides us with a point of view that is outside of any character's in the story and positions us as distant observers. Whilst long shots can indicate an external point of view, they are not the only indicators though. Most shots are from an external point of view, unless a switch to an internal character's point of view is indicated.

Images presented from a subjective perspective encapsulate a particular point of view that is limited, as opposed to objective images which present information in an unrestricted and full manner. A subjective image would show only what could be seen from a single specific viewpoint. An objective image would show everything that there is to know about an image (Kress and van Leeuwen 1996: 135-140).



Fig 3.3f (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 166.)

The first two panels of figure 3.3f could be argued to come from subjective points of view located from behind Captain Haddock (in the first panel) and then from in front of Tintin (in the second panel). In the first panel, we can only see the backs of the represented participants as they walk in single file through a jungle as if we were positioned behind them. In the second panel, the perspective changes to one located from a position in front of Tintin as he is now at the forefront of the picture looking back toward Captain Haddock. So we now are looking through a point of view closer to Tintin's as he and Captain Haddock respond to an unknown noise from the bushes. In the last panel, we are given a closer view of Captain Haddock (switching from the long shots of the first and second panels, where Captain Haddock's full figure takes up less than half the height of the panels, to a medium long shot in the last third panel, where the full figure of the Captain becomes larger and takes up at least half the height of the panel) as he is shown to be struck from behind by a charging tapir that has suddenly emerged from the bushes. The closer proximity of Captain Haddock in the last panel's shot does not seem likely to come from the point of view of another character such as Tintin, since Tintin is shown to be some distance from the Captain in the first and second panels and Tintin's perspective is highlighted in the second panel as he looks back in Captain Haddock's direction (where the Captain is a smaller and more distant figure from Tintin's position). The point of view adopted in the last panel then might be more objective than subjective as its main purpose seems to be to clearly show us what happens to Captain Haddock when he is knocked upside down into the air by an animal. The point of view here in the last panel could be argued to be an observing narrator's one with the purpose of presenting story information as fully and unambiguously as possible; it offers a closer, maximum and unrestricted view of Captain Haddock being hit by the tapir and sent flying into the air.

Pictures presented from a horizontal angle can show either a frontal or an oblique point of view. If a viewer is located in front of or behind and parallel or aligned with represented participants in a picture, then the angle of the picture is a frontal one. If the viewer is afforded a view of the represented participants from any other angle around them, one which is not parallel or frontal to the participants, such as a sideways or slanting view, then the angle of the picture is an oblique one. A frontal angle allows the viewer of an image to be 'involved' with the represented participants whilst an oblique angle 'detaches' the viewer from them. So a frontal angle creates an involved insider's perspective to an image where the viewer is invited to be a part of the represented participants' world, and an oblique angle creates a detached outsider's perspective to an image where the viewer is an uninvolved observer of the represented participants and set apart from their world (Kress and van Leeuwen 1996: 140-146).



Fig. 3.3g (Hergé, *The Adventures of Tintin Vol. 7* (2011), pg. 83.)

The first two panels of figure 3.3g give an oblique point of view of passengers on a plane, Tintin amongst them, as an emergency arises. The angles of these first two pictures are oblique because they offer slanting (first panel) and sideways (second panel) views of the represented participants. This serves to present the occurring events to us in a less attached manner, as if taking the point of view of an invisible and uninvolved observer. In the last

panel though, a frontal angle is adopted as we are placed right behind and parallel to Tintin as he looks out of the window to see smoke coming out of one of the plane's engines. Here we are given an over-the-shoulder view that is very close to Tintin's point of view. The frontal angle of the picture, even though it is coming from behind Tintin and thus he is not facing us directly, involves us in Tintin's world by allowing us to identify with his position and see what he is seeing. The last panel is offering us a category B(R) narrative perspective (Simpson 1993) (see section 2.6) where Tintin's visual point of view is being reflected from a third person position close to him. The visible presence of the back of Tintin's head and shoulder in this picture identifies its point of view as third person rather than Tintin's first person (where our view would be restricted to only what Tintin could see and we would not be able to see Tintin himself in the image), but highlighting or reflecting Tintin's point of view (as we are positioned looking over his shoulder from behind and can follow the direction of his gaze out through the window).

The vertical angle of a picture refers to three heights at which a picture can be presented from: high angle, eye level and low angle. A high angle of a subject comes from above the subject so that the viewer is looking down on the subject. The subject is made to seem smaller and insignificant as a result and thus viewer power over the subject is created. A low angle of a subject is a view from beneath the subject so that the viewer is looking up at the subject. The subject is made to seem larger and more imposing as a result and thus subject power over the viewer is created. A picture presented at eye level places the viewer at equal height to the subject so that we are able to be face to face with the subject. This creates a point of view of equality between the viewer and the subject and so neither one has more power than the other. Differences in vertical angles or height create differences in power between the viewer and the subject, from high angles which increase the viewer's power and

diminish the subject to low angles which increase the subject's power and diminish the viewer (Kress and van Leeuwen 1996: 146-148).

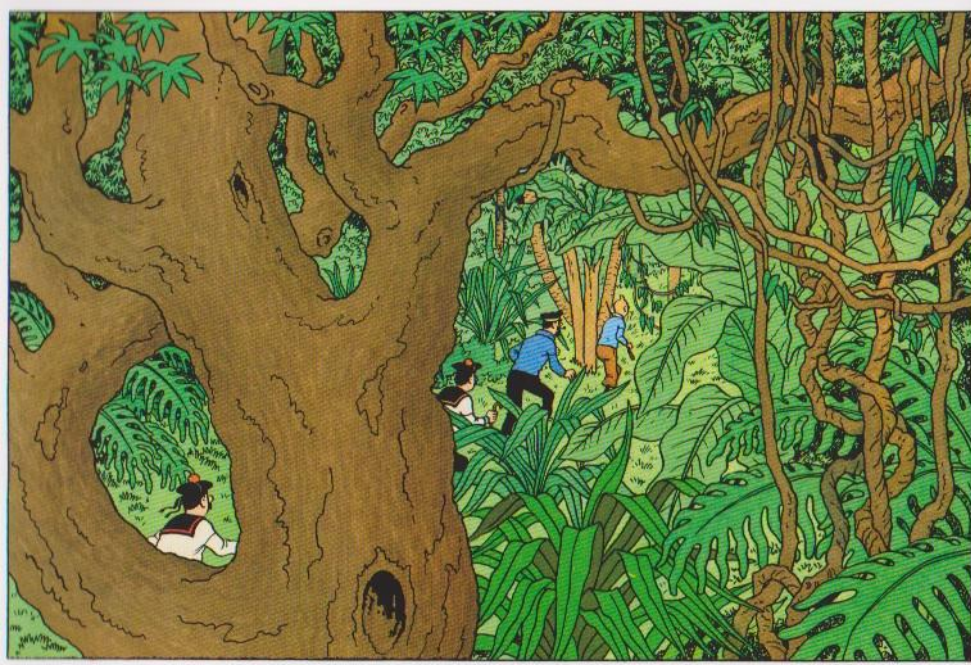


Fig. 3.3h (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 28.)

Figure 3.3h shows a high angle picture. We are afforded a tree top view of Tintin and his companions as they trek through a dense jungle. The higher vantage point of the picture diminishes the represented participants, making them appear smaller and more vulnerable. Because we are looking down at Tintin's group from the height and concealment of tree tops, we, the viewer, are given a more powerful position of a hidden observer who is watching over them from above. Our increased power over the group from our greater vantage point and the group's decreased power as a result of their lower position create a sense of their vulnerability and their insignificance in comparison with the vastness of the thick jungle around them is emphasized. Given the jungle settings, we could imagine this high angle point of view being that of some creature residing in the trees, silently observing Tintin's group go by. A sense of the group being watched and of potential hidden danger lurking around could thus be associated with this high angle point of view as well. The fact that the high angle

point of view of the image is positioned away from the immediate deictic space of the characters (Stockwell 2005: 143-153) and out of their close and direct range of perception gives rise to the sense of something or someone watching them from above who is beyond their immediate awareness and thus who poses a potential unseen danger to them. The high angle viewpoint also provides us with a view of the thick jungle foliage surrounding Tintin's group which conveys the great density and size of the jungle and how deep into it they are.

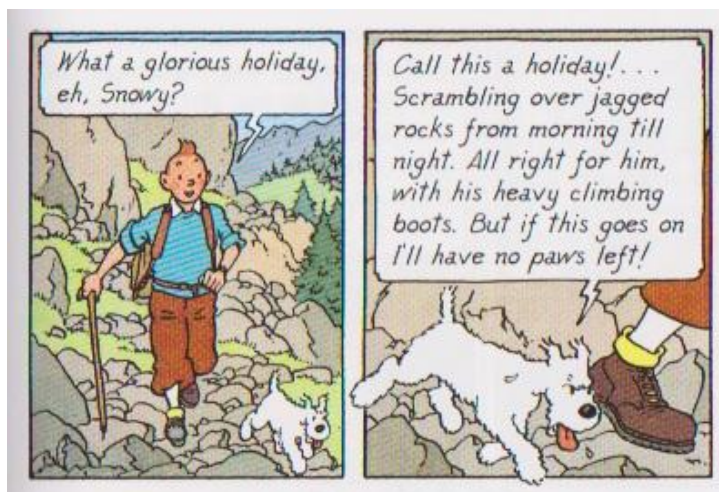


Fig. 3.3i (Hergé, *The Adventures of Tintin* Vol. 7 (2011), pg. 131.)

Figure 3.3i provides an example of two eye level pictures. The first panel (on the left) is placed at Tintin's human eye level, but the second panel (on the right) drops down to the dog's eye level of Snowy, Tintin's canine companion. So in the first panel, we are placed at a human's height level in which Snowy is smaller and less significant. But in the second panel, at Snowy's lower height, we view Snowy on his level and he is treated as a character in his own right. The unusual presentation of Snowy's speech in the second panel is a manifestation of his own thoughts and feelings which we are given access to partially by being brought down to his level visually.



Fig. 3.3j (Hergé, *The Adventures of Tintin Vol. 5* (2011), pg. 122.)

The last panel (far right) of figure 3.3j demonstrates a low angle picture. In this picture, we see the side of a ship from ground level. Tintin becomes another person in the crowd as he dashes toward the ship's boarding entrance. The low angle point of view of side of the ship's hull reflects a point of view close to Tintin's of someone who is based on the ground and looking up at the ship. This low angle perspective emphasizes the great size of the ship and the dwarfing effect it has on humans in comparison.

In the next section, I use Kress and van Leeuwen's (1996) visual grammar and their ways of analyzing images that I have outlined in this and the previous sections to propose ways of visually identifying Fowler's (1986) and Simpson's (1993) narration types and categories in images.

3.4 Visually identifying Fowler's (1986) and Simpson's (1993) narration types and categories

The ways of analysing images discussed in the previous two sections (3.2 and 3.3) will be of use in the sections to follow when I apply Fowler's (1986) distinction between internal and external narration and Simpson's (1993) narrative categories to comics. By using Kress and van Leeuwen's (1996) concepts of vectors, gaze, distance, subjectivity, horizontal angles and

vertical angles to identify narrator and character points of view in comic images, I can identify Fowler's (1986) internal and external narration types and Simpson's (1993) narrative categories visually in comic images. I propose that Fowler's (1986) internal narration type, which is the perspective of a character within the story and can occur from a first or third person narrator's point of view, is indicated in an image by the presence of an eyeline vector from a reactor character which we can follow to the target of the reactor's gaze (the phenomenon). The angle from which this image is presented will correspond to the position of the reactor or be somewhere near to it so that the viewer of the image will be looking in the same direction as the reactor and seeing what s/he sees. The eyes of the reactor and even the reactor him/herself may not be visible in the image if it is located from a position behind or directly in front of (from the eyes of) the reactor, but we are able to identify the direction of the reactor's gaze from the visual angle of the image which positions the viewer within or close to the point of view of the reactor. Also, the presence of a non-transactional eyeline vector (when a character's gaze has no visible target) directed at the viewer from a reactor character can indicate an internal character perspective as well. In this case, the face and eyes of the reactor would be visible as s/he would be facing the viewer and, because of this, it would not be the reactor's direct visual point of view that is being conveyed here, but perhaps his/her psychological point of view. When an internal character perspective is being visually conveyed in an image, the viewer is either in the position of the reactor or the phenomenon of an eyeline vector, but never outside of those positions. Fowler's (1986) external narration type, which is the perspective of a third person narrator existing outside of the world of a story but able to observe it, is indicated in images by the angle of an image not corresponding to the position of a reactor character and by the absence of eyeline vectors which are directed from or at the viewer. The gaze of a reactor is instead aimed away from the viewer in directions which do not involve the viewer as either a reactor or phenomenon. In external

perspective images, no eyeline vector connection is made between the represented participants of the image and the viewer. The result of this is that the viewer becomes merely an uninvolved observer of the image and its characters, given no access to the point of view of any character. Simpson's (1993) narrative categories A and B(R) are based from character points of view and so are internal in perspective. The presence of eyeline vectors which are directed from or at the viewer applies to these narrative categories in images. But the distinction between the categories arises in that a narrative category A perspective is marked by an eyeline vector which is directed from the viewer and the reactor character from which it originates is not visible in the image, whilst a narrative category B(R) perspective is marked by an eyeline vector which is directed from a position close behind the reactor or at the viewer and the reactor is visible in the image (either the back of his/her head and shoulders or his/her face looking at the viewer). Simpson's (1993) narrative category B(N) is equivalent to an external narrator's perspective and is marked by the absence of eyeline vectors which are directed from or at the viewer as well.

An internal first or third person character point of view may be further indicated by: vectors directed at and eye contact established with the viewer, medium to close-up shots that bring the viewer within social or personal distance of characters and could represent the visual range of a character's sight, a limited view of an image that provides a subjective presentation of the image (such as when only one side of an object is shown), frontal angles which involve the viewer with the characters and their world, and eye level pictures which place the viewer at an equal height to characters and allow those characters to be viewed as they would be by another character at their level. An external third person narrator point of view may be further indicated by: vectors not directed at the viewer but within the world of the story between characters, an absence of eye contact with the viewer, long to medium shots that maintain an impersonal distance from characters and so treat them as casual

subjects for dispassionate observation, an unrestricted view of an image that provides a less subjective and more objective presentation of the image (such as when several sides of an object are shown), oblique angles which detach the viewer from the characters and their world, and high and low angle pictures which place the viewer unequally in height above or below characters and which allow the viewer an overhead or underneath view of characters that would not be possible from another character's equal height and eye level point of view.

It should be noted though that visual indicators of first and third person and character and narrator points of view may not always be the same in every image though, and the effects produced by the vector lines and gaze of characters, the distances of shots, the subjectivity and the horizontal and vertical angles of images can vary from image to image. An image that contains a character who is looking straight out at and establishing gaze contact with the viewer, for instance, might not always be presenting a first person character's point of view. Such an image might not be coming from the point of view of another character who is the target of the gazing character's look, but could be intentionally crossing the barrier between the character's story and the viewer's real worlds with the gazing character addressing the viewer by staring directly at us (producing a possible collapsing of the author-reader, narrator-narratee and character-character levels in Short's (1996) 'discourse structure of fictional prose' (see section 2.3 of previous chapter)). In this case, a very different effect of breaking the invisible wall between the character and viewer would be created from establishing a character-viewer gaze connection than the effect generated from the presentation of a first person character's point of view which places the viewer in the shoes of another character and allows us to see what that character sees. High and low angles in an image may be just as likely to indicate a first person point of view as an eye level image, and a close-up shot may present a third person point of view whilst a long shot may present a distant first person point of view. A narrator's point of view may not always be indicated by a

lack of gaze at the viewer and a character's point of view may be indicated without a character making eye contact with the viewer. The context of images plays an important role in how we interpret them as well and how we perceive the use of vectors, gaze, distance, subjectivity, horizontal angles and vertical angles in images will be dependent on our knowledge of the context of those images. But Kress and van Leeuwen's (1996) concepts of visual grammar and design provide me with the tools and terms to be more specific and defined in my multimodal analyses of images. And the recognition of key visual indicators of point of view in images provides me with guidelines by which to approach identifying points of view and hence Fowler's (1986) and Simpson's (1993) types and categories of narration in comic images.

3.5 Summary

This chapter has introduced a multimodal framework for analysing images from Kress and van Leeuwen's (1996) visual grammar (section 3.2), visual indicators of point of view from Kress and van Leeuwen (1996) (section 3.3) and ways of visually identifying Fowler's (1986) and Simpson's (1993) narration types and categories in images (section 3.4).

Kress and van Leeuwen (1996) outlined the concepts of interactive and represented participants, vectors and eyeline vectors, and ways in which images interact with the viewer through: gaze, distance, subjectivity, horizontal angles and vertical angles.

Fowler's (1986) internal and external narration types can be visually identified in images by eyeline vectors and positioning. If we are able to follow the direction of the gaze of a looking character from the same position as him/her or near to it from behind him/her, or if a character's gaze is directed at us, this marks an internal perspective in images where the point of view of a participating character within a story is presented. If the gaze of a looking

character is not directed from or at us and we are not located in the same position as or near to him/her, this marks an external perspective in images where the point of view of a non-participating observer located outside of the world and events of a story is presented.

Simpson's (1993) narrative categories A and B(R) are internal points of view which are visually identified in the same way as Fowler's (1986) internal narrative perspective, with the distinction that the character whose point of view is being conveyed is visually absent in category A images whilst s/he is visually present in category B(R) images. Simpson's (1993) narrative category B(N) corresponds to Fowler's (1986) external narration and is visually identified in the same way in images where we are removed from both the gaze and position of characters.

In the next chapter, I will address the application of Fowler's (1986) internal and external narration types and Simpson's (1993) A, B(N) and B(R) categories of narration to comics. Here I will show how internal and external narrative perspectives and the narrative categories A, B(N) and B(R) can be identified visually as well as textually in comics, using Kress and van Leeuwen's (1996) visual grammar concepts of vectors, gaze, distance, subjectivity, horizontal angles and vertical angles.

Chapter 4: Applying Fowler's (1986) and Simpson's (1993) Narration

Types and Categories to Comics

4.1 Introduction

In this chapter, I demonstrate the application and identification of Fowler's (1986) internal and external narration types and Simpson's (1993) narrative categories A, B(N) and B(R) in comics through analysis of comic examples. Using Kress and van Leeuwen's (1996) visual grammar concepts of vectors, gaze, distance, subjectivity, horizontal angles and vertical angles which I discussed in the previous chapter, I am able to analyse comic images and apply Fowler's (1986) and Simpson's (1993) narration types and categories to the images as well as the text of comics. In the next section, Fowler's (1986) distinction between internal and external narration (see section 2.5) is applied to the images and text of comics. Then section 4.3 identifies Simpson's (1993) narration categories (see section 2.6) visually and textually in comics. Sub-sections 4.3.1, 4.3.2 and 4.3.3 focus on each of the narration categories (A, B(N) and B(R)) in comics. The chapter is concluded with a summary in section 4.4.

4.2 Fowler's (1986) internal and external perspectives in comics

The distinction between internal and external perspectives in prose texts was raised in chapter 2 in section 2.5 on Fowler's (1986) internal and external narration types. This section endeavours to show how this distinction can also work in comics, in the images as well as the narrative text. As a reminder, Fowler's definition of external narration was narration that

comes from a perspective outside of any character in a story. Internal narration is narration that comes from the perspective of a participating character within a story.



Fig. 4.2a (Z., Small, Livesay and Smith, *Witchblade* #36 (Dec. 1999), pg. 8.)

In figure 4.2a, the narration in the boxes is not focalised from the perspective of any character in the story hence it is external narration that comes from a narrator's perspective outside of the fictional world of the story. A third person narrator is indicated by the third person references: "Dr. Nolin" and "Kenneth Irons", pronouns: "he" and "they" and possessive determiners: "his" and "their". This external narration is from a knowledgeable third person narrator who demonstrates unrestricted temporal, spatial and mental access. The first box of text (in upper left corner) containing "Caulty Building. Central Park West." identifies the location of the picture. The rest of the narrative text in the other boxes serve to identify the two characters present in the picture (Dr. Nolin and Kenneth Irons) and provide background

information on them, informing the reader of how they are associated with one another. The external narrator of the text possesses omniscient access to the past of the characters and their opinions and feelings ("17 years ago, Dr. Nolin wasn't a doctor. He looked up to Kenneth Irons[...] ", "He felt a somewhat kindred spirit in the then archeologist and hoped their paths would continue down the same road."). Some of the character and views of the external narrator are conveyed in the text, such as in the fourth box on the right side of the picture which contains the narrator's informal language ("But it didn't last long.", "[...]and it was time to call any hopes of an alliance quits."). According to Kress and van Leeuwen's (1996) concept of the gaze of represented participants in an image, a lack of eye contact with the viewer from the represented participants in figure 4.2a's picture means that they are offered to the viewer as subjects for observation (1996: 121-130). Dr. Nolin's (to the left) gaze forms what Kress and van Leeuwen (1996) refer to as an 'eyeline vector' directed at Kenneth Irons (to the right) whilst Irons' gaze is focused downward on his golf game. This portrays Nolin as the passive onlooker and Irons as the active Actor who is playing golf and who does not return Nolin's gaze and thus attention, so Irons is presented as being more proactive than and ignorant of Nolin. By Kress and van Leeuwen's (1996) concept of image distance, figure 4.2a's picture is a medium distance shot (showing the characters from the knees up) and so provides a casual and public presentation of the two represented participants (1996: 130-135). According to Kress and van Leeuwen's (1996) concept of horizontal angles, the frontal angle from which Nolin is shown creates involvement with the character as we are facing him frontally, whilst the oblique angle from which Irons is shown creates detachment from the character as we are viewing him from a restricted sideways angle (1996: 140-146). Involvement with Nolin and detachment from Irons is supported by the written text which accesses Nolin's mind and feelings toward Irons ("He looked up to Kenneth Irons as one of the finest members of the cult they were both in.", "He felt a somewhat kindred spirit in the

then archeologist and hoped their paths would continue down the same road.") and remains objective about Irons (not reporting anything about Irons' mind and thoughts, only facts about him, e.g. "[...]the then archeologist[...]", "With Irons making his empire out of the business world[...]"). Kress and van Leeuwen's (1996) concept of subjectivity is demonstrated in textual form in the second and third boxes of text which delve subjectively into Nolin's early feelings towards Irons (1996: 135-140). The fourth and fifth boxes of text then lose Nolin's subjectivity and instead become objective, factual descriptions of what happened later between Nolin and Irons. Kress and van Leeuwen's (1996) concept of vertical angles describes the eye level shot of the picture as creating equality between the viewer and the represented participants and thus places us on the same level as the represented participants (1996: 146-148). The visual objectivity of the picture (being a factual rather than a specific point of view presentation of information) presents a distant, unequal and possibly antagonistic relationship between Nolin and Irons with Irons in the foreground (emphasizing that he is higher in status and importance) and Nolin in the background (signifying that he is lower in status and importance). So both textual and visual narration in figure 4.2a is external, coming from the storytelling perspective of a non-participating narrator located externally to the story-world and its characters. There is no adoption of the point of view or consciousness of any character in the story.

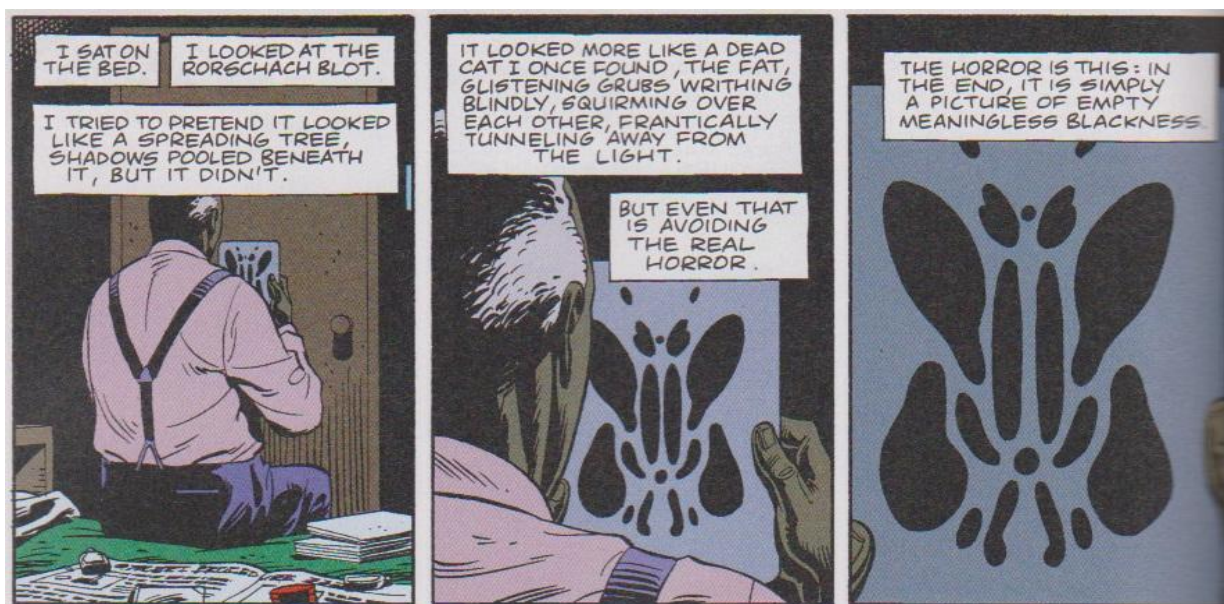


Fig. 4.2b (Moore and Gibbons, *Watchmen* (2007), chap. 6, pg. 28.)

In figure 4.2b, internal first person narration occurs in the boxes of text. The narrative text is written from the point of view of the character in the pictures, a psychiatrist by the name of Dr. Malcolm Long. He is the first person source of the textual narration; it is written from his internal perspective. Aside from the use of the first person pronoun 'I', verbs of cognition and perception ("I tried to *pretend* it looked like...", "It *looked* more like...") and subjective, evaluative language ("the fat, glistening grubs writhing blindly, squirming over each other, frantically tunneling away from the light.") mark Dr. Long's first person narration and point of view. As opposed to the external narration from outside of any story character's perspective in figure 4.2a above, the internal narration here is located from within the world of the story through a participating character's perspective. According to Kress and van Leeuwen (1996), the absence of gaze at the viewer means the represented participant (Dr. Long) here is offered to the viewer as a subject for observation (1996: 121-130). Moving along the panels from left to right, Kress and van Leeuwen's (1996) image distance allows us to describe the pictures as increasing in proximity from a medium shot (first panel) to a close-up (second panel) to an extreme close-up (third panel) (1996: 130-135). This increasing level

of intimacy to the represented participant brings us closer to his point of view. Kress and van Leeuwen's (1996) subjectivity in images is evident in the subjective over the shoulder angle shot from behind the represented participant in the second panel which brings us close to his point of view by positioning us spatially right behind him (1996: 135-140). Kress and van Leeuwen's (1996) horizontal and vertical angles also support the point of view of the represented participant in the pictures of figure 4.2b. The frontal angles from nearly directly behind the represented participant (first and second panels) and from his direct visual point of view in the last panel (which looks straight ahead at a Rorschach ink blot card he is holding up in his hands) create involvement with the character (Kress and van Leeuwen 1996: 140-146). Even though we are not able to see his front body and face, we can identify with and relate to his position. The eye level shots of the pictures place the viewer on equal level with the represented participant so that we are able to see from points of view close to his own and even from his own point of view in the last panel (Kress and van Leeuwen 1996: 146-148).

The first person narrative text reflects the subjective and internal quality of the images. Being able to follow the direction of the gaze of the depicted character from a position close behind him (in the first two panels) and from a position coinciding with his own (in the last panel) identify these images as internal in perspective (coming from the point of view of a character within the story). The visible presence of the character whose point of view is being highlighted in the first two panels indicates that they are from a third person point of view, but being positioned directly behind and close to the character so that we are looking over his shoulder and seeing in the direction of his gaze indicates that the character's point of view is being focalized or reflected in these first two panels. Then from the internally focalized third person perspective in the first two panels a switch occurs to a first person narrative perspective in the last panel. This is indicated by the absence of the character in the last panel, but his direct visual perspective being conveyed through the close-up view of the item

he was looking at in the first two panels (a Rorschach blot card) and the visible tips of his thumbs at the edges of the panel holding the item in front of him. Whether coming from a position close to the focalizer character's and reflecting the direction and focus of his point of view (first and second panels) or coming directly from the character's own perceptual point of view and allowing the viewer to see what he sees from his own eyes (third panel), these three picture panels demonstrate an internal character perspective. Both textual and visual internal narration is exemplified in figure 4.2b.

This section has discussed internal and external narrative perspectives in both text and images in comics. Pictures as well as text can be internally focalized from a story character's point of view or can adopt an external narrator's outside observer perspective of a story and its characters. In the next section, I will explore internal and external narration in comics in the form of Simpson's (1993) narrative categories.

4.3 Identifying Simpson's (1993) narration categories in comics

In this section, I test the categories of narration from Simpson's (1993) 'modal grammar of point of view' on comics to see if they can work for multimodal texts of this kind. Simpson's (1993) narrative model was summarized in the previous chapter (section 2.6). I introduced his category A and B narratives which, as will be shown now, may be identified in comics, visually in pictures as well as in text. If we assume category A narratives to be first person narratives that come from a character's perspective, category B(N) narratives to be third person narratives that come from an outside narrator's perspective, and category B(R) narratives to be third person narratives that come from a reflector character's perspective, we can find these perspectives visually translated in comic panel images from the angles of pictures and using Kress and van Leeuwen's (1996) visual grammar concepts of vectors,

gaze, distance, subjectivity, horizontal angles and vertical angles. The positive, negative and neutral modalities that Simpson further subdivided his A and B narrative categories into will not be focused on here in regards to comics, though it may be possible to convey some types of modality visually in comics, in particular, perception modality through a panel drawn from a character's visual perceptual point of view. This section is concerned with applying Simpson's A, B(N) and B(R) narrative categories to comics though. The following subsections (4.3.1-4.3.3) will address each of Simpson's narrative categories in turn, analyzing examples from comics in which they can be identified. We begin with category A (section 4.3.1), then move on to category B(N) (section 4.3.2), and then finally category B(R) (section 4.3.3).

4.3.1 Category A - character perspective



Fig. 4.3.1a (Moore and Lloyd, *V for Vendetta* (2000), book 3, chap. 4, pg. 212.)

In figure 4.3.1a, the psychological perspective of a male detective character is being generated in the words and pictures. Here we have an example of written first person

narration, Simpson's category A narrative, marked by the use of the first person pronoun 'I' which refers to the male character seen in the pictures. The present tense ("I can't.", "I'm[...]"), adverb "now") and deictic pronoun 'this' ("[...]it's the drug doing *this*[...]") are subjective to and indicate close temporal and psychological proximity to the male character as well. The man, who is experiencing drug-induced sensations and hallucinations, is describing his experiences in a thought-like manner. His internal experiences are being conveyed through the pictures as well as the words. The close-up of the man's face in the first panel highlights his dilated eyes and suggests that he is being affected by the L.S.D.. The medium distance shot of the second panel shows the area around the man's head apparently emanating light. We interpret this to be a visual representation of his altered mental experiences because the white aura and lines of light around his head suggest something coming from his mind and we know from the text that he has taken a hallucinogenic drug (L.S.D.) which he is experiencing the effects of. The reader is being brought into the man's mind visually as well as textually. The third panel then moves back into a long distance shot of the man and we begin to see what he sees through his drug-altered perception. His surroundings and the two other figures that appear in the third panel are yellowish beige-coloured to indicate that the world around the man is not real but of his mind. Hence a transition is made from the external real concrete world into the man's internal mental abstract world and his altered perception is emphasised. Even the tilted white box containing first person narrative text positioned between the first and second panels is indicative of the man's unstable drug-influenced perception. The dragging out of the word "Thrummmmmmmminging" onomatopoeically conveys the man's unusual sensations too. The use of modal auxiliaries ("I *can't*.", "I just *have to* remember[...]"), evaluative and descriptive adjectives and adverbs ("*so confused*", "*so alone*"), *verba sentiendi*, "words denoting feelings, thoughts, and perceptions, primary signals of a subjective point of view" ("My legs *feel* like jelly[...]", "I'm *trapped* in a job that *disturbs*

me[...]"), a generic sentence ("[...]they say L.S.D. only magnifies what's already there.") and a colloquial term ("*Christ*") all contribute to projecting the man's point of view linguistically and are indicators of Simpson's positive modal shading (Fowler 1986: 131-132, 136-137).

The category A narrative text in these panels could be categorised more specifically as 'A *positive* (A+ve)' narration then, foregrounding the first person character narrator's strength of belief and certainty in what he is feeling, perceiving and thinking (Simpson 1993: 56-58).

The vivid hallucinatory and neurological effects of the drug that the man has taken are thus conveyed through his narrative words. Even though the represented participant is facing the viewer, there is no intentional eye contact made with us as we see, from the first panel, that his eyes are in an abnormal state (wide open eyes and dilated pupils). So the represented participant's gaze, though facing in our direction, is not so much directed at the viewer, but instead offers the represented participant's eyes for our observation. Kress and van Leeuwen (1996) states that when a represented participant's gaze is directed at the viewer, a demand is made of the viewer, but when a represented participant's gaze is not directed at the viewer, the represented participant is offered to the viewer as an object for observation (1996: 121-130). As we move across the panels from left to right, the frame distance of the pictures increases and we appear to move increasingly further away from the represented participant.

Using Kress and van Leeuwen's (1996) distance or frame size of images, the panels move from an extreme close-up in the first panel to a medium shot in the second panel and finally to a long shot in the third panel (1996: 130). We initially are in close proximity to the represented participant's face (first panel) and so are within intimate and personal range of him. We then move back to a medium social distance from the represented participant in the second panel and finally to a far impersonal distance from him in the last panel. According to Kress and van Leeuwen's (1996) horizontal angles, a frontal angle view of the represented participant's face and the front of his body creates involvement with him and brings us into

his world (1996: 140-146). From Kress and van Leeuwen's (1996) vertical angles, we can identify the first two panels as being at the eye level of the represented participant and so we are placed on an equal level with him (1996: 146-148). This allows us to become close and intimate with the represented participant (first panel) and to enter into his consciousness (second panel). In the last panel, a low angle (Kress and van Leeuwen 1996: 146-148) and long shot view of the represented participant (identified by the visible presence of the ground and two bodies at the sides of the picture depicting an adult from the hip down and a child from the neck down) creates physical space around him and allows us to view the mental world that he has entered. Kress and van Leeuwen's (1996) vertical angles describes low angles in images as creating represented participant power over the viewer as the height of the represented participant is emphasized (increasing his or her power) and the viewer, positioned beneath the represented participant, has to look up at him or her (decreasing the viewer's power). The long shot distance of the last panel creates a removed and impersonal social distance from the represented participant (Kress and van Leeuwen 1996: 130-135). So the low angle and long shot of the last panel, making the represented participant powerful and distant, depersonalizes him and presents him as a passive observer of the world around him. This last panel is a presentation of the represented participant's drug-affected perception and the hallucinatory world that he is now seeing. The viewer is placed behind two other bodies appearing in the picture (at the sides) as if we have now become imaginary characters that the represented participant is seeing appear before him. These are subjective images which show the represented participant's face in close proximity (in the first panel), his drug-induced altered mental state (in the second panel) and his hallucinatory perception (in the last panel). Kress and van Leeuwen's (1996) subjectivity refers to the presence of a point of view in an image, when our view of an image comes from a specific limited perspective (1996: 135-140). In these panels, the subjectivity and point of view of the represented participant is

highlighted in both the first person narrative text and in the images which access the represented participant's mental experiences and visual perceptions. We are allowed to access the represented participant's inner mental world both textually and visually as a result.



Fig. 4.3.1b (Moore and Lloyd, *V for Vendetta* (2000), book 3, chap. 4, pg. 213.)

Figure 4.3.1b follows after figure 4.3.1a. The first four panels of figure 4.3.1b are based from the same male detective character's first person visual perspective. The angle from which these first four images are presented coincides with the positioning of a character and thus allows us access into the visual perspective of that character. This creates the effect of looking out directly through the gaze of the character so that we are seeing what he sees. The absence of the character whose point of view we are viewing from in the first four images

(save for his hands coming from the bottom of the images) indicates a visual first person category A perspective. The appearance of the hands at the bottom of the pictures suggests that the pictures are positioned from the eye level of the first person character, so effects of looking out from his level and seeing through his eyes are created. There is also gaze at the viewer from the represented participants in the first two panels at the top which create a demand of the viewer (Kress and van Leeuwen 1996: 121-130). This direct gaze contact from the represented participants creates an interaction between the viewer and the depicted characters and allows us to feel as if we are an internal character in the story who is the recipient of other characters' gazes. The distancing of the pictures moves from a long shot of the wall in the first two top panels to a medium shot of the wall in the third panel (lower left corner) then to a close-up shot of the wall in the fourth panel (lower middle) and finally to a sideways long shot in the last panel (lower right corner) showing the character whose first person visual point of view was presented in the previous panels (Kress and van Leeuwen 1996: 130). The decreasing distance of the first four pictures (from long shots to close-up) indicate the first person character's increasing proximity to the wall as he moves closer to it. The presence of a head-shaped shadow at the bottom of the fourth panel also indicates the character's close proximity to the wall by that point. The high angle of the fourth panel which looks down at the shadow also indicates the first person character's visual vantage point (Kress and van Leeuwen 1996: 146-148). The several other represented participants that we see in the first three panels, figures of the first person character's imagination, grow smaller as they get further away from the first person character and disappear into the wall. This is another indicator of a character's first person visual perspective. The last panel (lower right corner) switches out of the first person character visual perspective of the first four panels to a third person narratorial perspective that shows the man on his knees by a wall. Combined with the first person narrative text, the first person perspective pictures create the male

character's visual and psychological point of view, allowing the reader direct access into the man's mind and to his sight, and thus limiting our viewpoint to that of the character's. The reader is restricted to and focused onto the personal and subjective first person view of the male character in order to be taken firsthand into his drug-influenced internal mental experiences without the presence of a mediating external narrator.



Fig. 4.3.1c (Nicieza et al., 'Cable & Deadpool #37' in *Cable & Deadpool Vol. 7: Separation Anxiety* (2007), pg. 4.)

The bottom picture panel of figure 4.3.1c conveys the first person visual perspective of the character Deadpool (who can be seen in the top picture). It is a flashback image of what Deadpool remembers from the evening before. He is shown to have been at a bar and met

with a strange woman. The female represented participant in the lower panel is looking toward us and her left arm is turned toward us as well so that her fingers are facing us. Kress and van Leeuwen's (1996) eyeline and physical vectors are formed by the gaze and left hand of the represented participant which are directed at the viewer (1996: 56-57, 64-65). This creates an interactive relationship with the viewer as we become the recipient of the represented participant's attention and communication. The speech balloons coming from the left side of the picture indicate the presence of another unseen character (Deadpool), one whom we have been placed from the first person point of view of and to whom the woman in the picture is addressing. The absence of the character whose visual point of view is being presented in the lower panel image indicates a visual first person category A perspective. The hazy, blurred quality of the lower panel picture also indicates a character's first person perspective as it suggests the character's inability to perceive things clearly probably due to being in a state of drunkenness as the bar setting would suggest.

4.3.2 Category B(N) - narratorial perspective



Fig. 4.3.2a (Z. and Green, *Witchblade* #38 (Mar. 2000), pg. 1.)

Simpson's B(N), third person narratorial narrative category is often reserved for presenting brief, but essential and/or important narrative information or additional author's notes in

modern comics, such as in figure 4.3.2a above where a recap of the plot from the previous issue ("Last issue[...]") and the current location and time of day ("Upstate New York. Evening.") are given in the caption boxes. These are pieces of information that only the narrator from 'outside' of the story world can give to the reader. It is possible that because pictures provide a visual method for an external narrator to convey a story to the reading audience, the necessity of his/her involvement in written narration is reduced, thus decreasing B(N) type narrative text in comics. That is not to say though that textual category B(N) narration cannot be found more substantially in some comics.

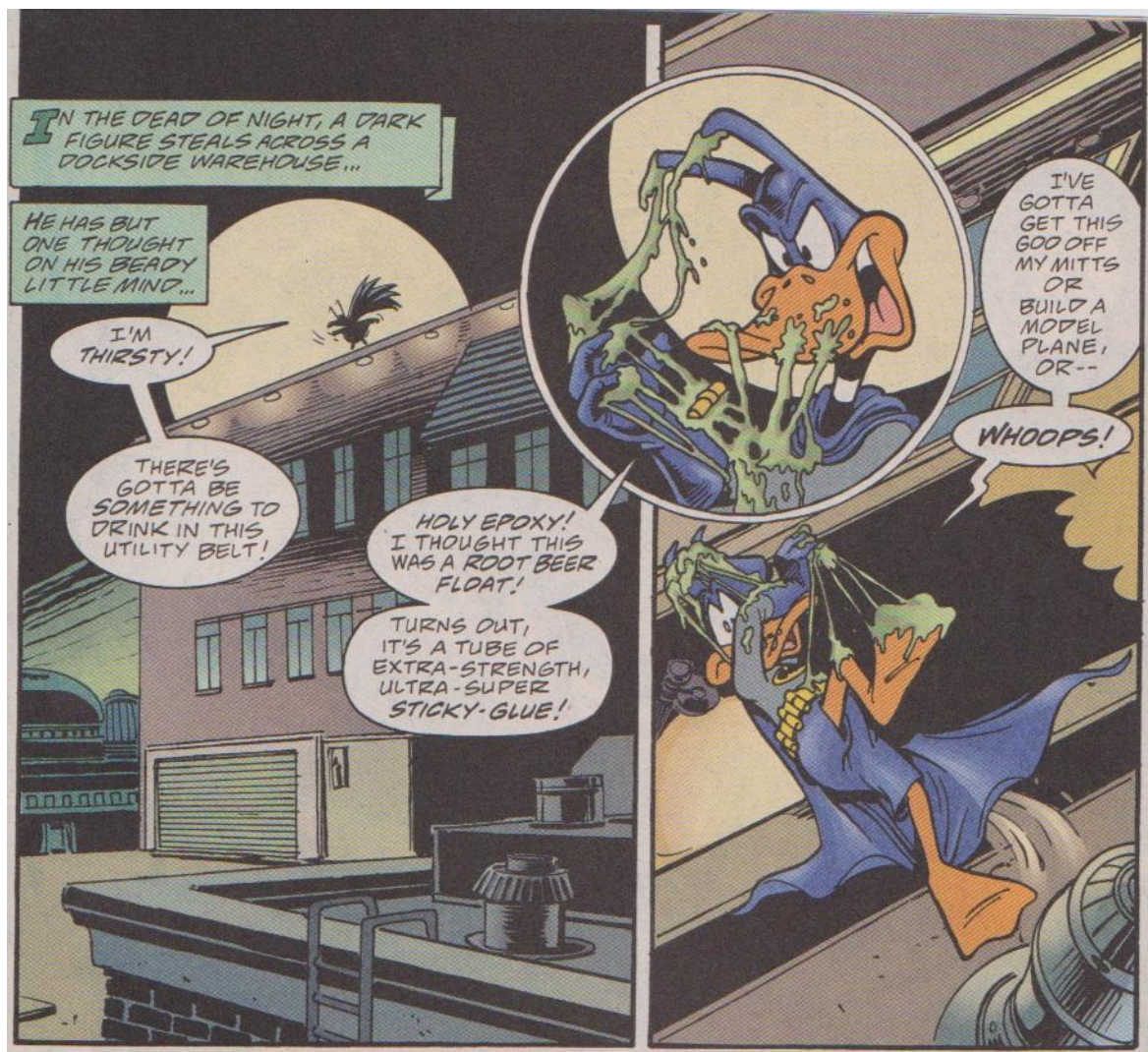


Fig. 4.3.2b (Evanier et al., *Superman & Bugs Bunny #4* (Oct. 2000), pg. 1.)

Figure 4.3.2b from a DC superheroes and Warner Brothers Looney Toons crossover comic makes use of textual and visual category B(N) narration. The opening narrative text in the green boxes ("In the dead of night[...]") takes an external narrator's dramatic tone and formal language which when contrasted with the comical speech of Daffy Duck that follows after creates humour. The present tense of the narrative text ("[...]a dark figure steals across a dockside warehouse...") places the voice of the external narrator temporally closer to the depicted scenes to create the effect of the narrator speaking as the depicted scenes are unfolding. The narrator's temporal proximity to the scenes also brings the reader closer to them, creating a greater degree of involvement as the reader reads and watches the story as if it were occurring at present. Here the narratorial B(N) narrative text not only opens a story and provides story information of location and time of day, but also serves a purpose of setting up for humour created from narrator and character contrasts. The narrative text sets up a serious and sensible expectation and tone, only to be overturned by Daffy Duck's following silly dialogue that completely contradicts it. Using Kress and van Leeuwen's (1996) image distance and vertical angles, in the first panel (left side), we are given a very long shot and low angle view of a shadowed figure on a rooftop. This combination of a very long shot, which creates an impersonal and removed social distance from the represented participant, and a low angle, which creates represented participant power over the viewer, creates a sense of mystery and power around the shadowed figure (Kress and van Leeuwen 1996: 130-135, 146-148). But this mystery and power is quickly dispelled in the second panel, a circular picture, which moves into a close-up of the represented participant at eye level revealing him to be the comical cartoon character Daffy Duck in a Batman-like costume and struggling with a sticky green substance. According to Kress and van Leeuwen's (1996) vertical angles and image distance, we become equal and closer to Daffy in this second panel due to the eye level and close-up shot (1996: 130-135, 146-148). Then in the third panel (right side), we move to

a long shot again but from a high angle this time to show Daffy tripping backwards over the edge of the rooftop. According to Kress and van Leeuwen's (1996) vertical angles, the high angle of the picture diminishes the represented participant's power and thus Daffy's powerlessness and inability is emphasized as he is shown, apparently, to be nothing more than a powerless, clumsy fool (1996: 146-148). The mystery and power created around Daffy's shadowed figure in the first panel is completely overturned and replaced with a contrasting image of him in the third panel where he is comically powerless and incompetent. These great changes in the distancing and angles of shots is indicative of an external narrator's point of view as only a narrator who is not a part of the world of the story would be able to move around so freely to any location and viewpoint in the world of the story. Using Kress and van Leeuwen's (1996) concept of gaze, the absence of eye contact with the viewer from Daffy (as he never looks at us) also supports an external third person narrator's perspective as it places us in the role of an invisible observer and offers Daffy to us as a character for our dispassionate observation (1996: 121-130).

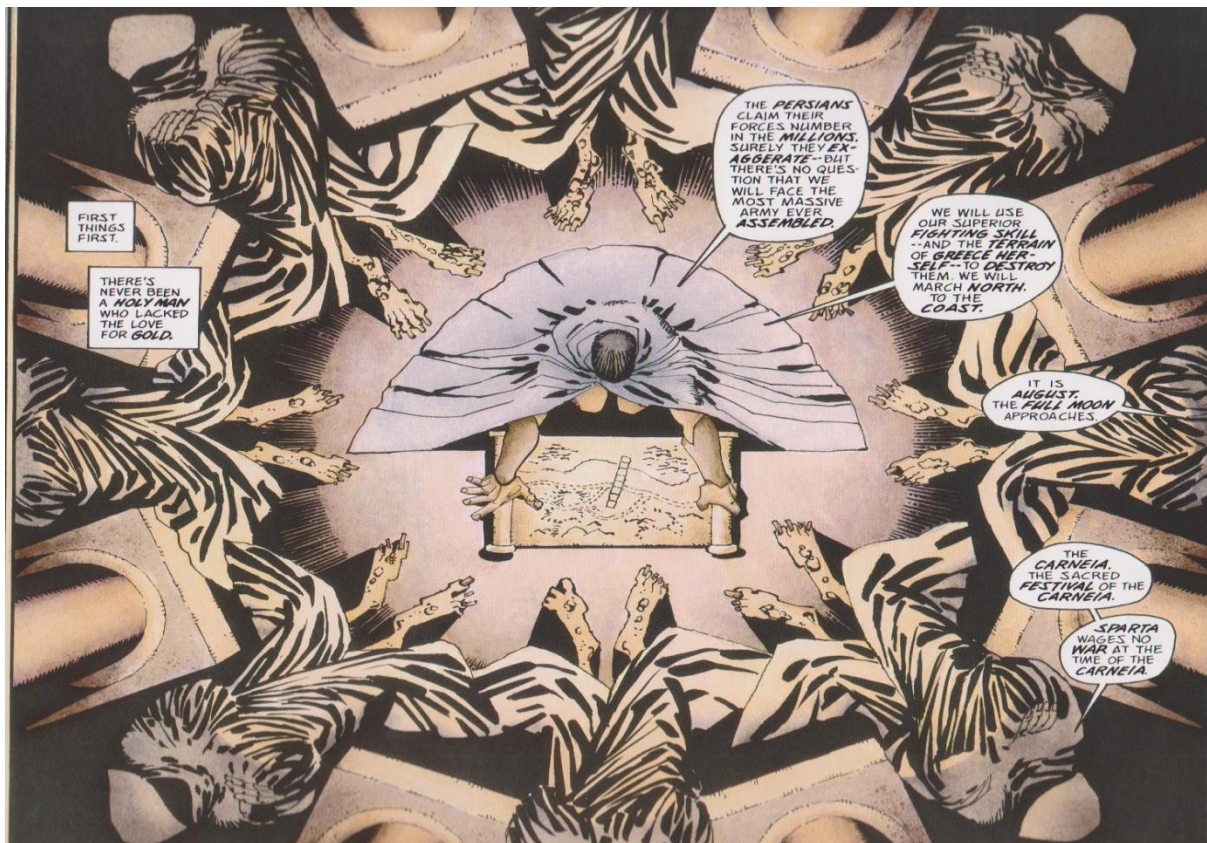


Fig. 4.3.2c (Miller and Varley, *300* (2006), chap. 2, pg. 4.)

Figure 4.3.2c displays an example of visual category B(N) narrative. Using Kress and van Leeuwen's (1996) vertical angles, image distance and gaze, figure 4.3.2c demonstrates a high angle and very long shot with no gaze from the represented participants which suggests an external third person narrator's perspective. It provides us with a powerful overhead vantage point of the represented participants from an impersonal and removed distance where we are not involved in what we are observing and the represented participants are subjects for our observation (Kress and van Leeuwen 1996: 121-130, 130-135, 146-148). The overhead bird's eye view of a gathering of several characters can only come from the 'floating' perspective of an external narrator who is looking down on the scene and the characters assembled in it. This aerial viewpoint diminishes the power of the man in the centre of the circle, King Leonidas of Sparta, and emphasizes him being surrounded by the cloaked figures, the Ephors, priests to old gods, who are watching him from all sides. Like the priests, we, the viewer, are

looking down on Leonidas from a higher position physically and by extension psychologically as well. Our high angle viewpoint gives us power over Leonidas and makes him appear smaller and less significant. This reflects the power of the Ephors over Leonidas. The Ephors hold a position of mysterious higher spiritual authority than Leonidas which is highlighted in the way that they sit around and higher than Leonidas who is on his knees before them. The picture suggests Leonidas' uncomfortable position in relation to the Ephors. He is encircled and trapped by them and must bend to their will and power literally and metaphorically. Through a third person narrative perspective located from above, Leonidas' restricted status and his powerlessness before the Ephors are conveyed.

4.3.3 Category B(R) - reflector perspective



Fig. 4.3.3a (Harvey et al., *Batman: No Man's Land* #569 (Sept. 1999), pg. 11.)

The blue boxes of text in figure 4.3.3a are another example of textual B(R) narration. The reflector here is the mute masked character Batgirl (depicted in the pictures). A category B third person narrator is acting as the 'voice' for this silent superheroine. The thoughts of Batgirl are presented indirectly through the third person narrator, hence the use of third person pronouns ('she', 'her') rather than first person pronouns ('I', 'me'). But the present tense

("She *knows* they *are* [...]", "[...]one thing *is* for sure.") is more immediate to Batgirl herself. The text is thus a free indirect report of her thoughts as it combines the 'free' character feature of Batgirl's present tense with the third person narrator's indirect 'voice' (Free Indirect Thought presentation will be brought up in the following chapters on speech and thought presentation). The third person narrator is a mediating 'translator' for the mute Batgirl, allowing her non-linguistic cognitions to be represented linguistically to the reader. In presenting her thoughts, the narrator reflects her perspective. And without the use of pronouns in the right-hand panel's "Voices. Coming from...", the category B(R), third person free indirect thought presentation could be mistaken for a category A, first person direct thought presentation coming straight from Batgirl's own consciousness. The omniscient third person narrator is internally focalized, reflecting Batgirl's point of view and mind. Using Kress and van Leeuwen's (1996) image distance, the B(R) textual narration is supported by the visual presentation which shows a medium close shot (first panel) then a close-up (second panel) of the character Batgirl whose thoughts are being presented in the text (1996: 130-135). The proximity of the shots brings us close to Batgirl and thus creates intimacy with her. By Kress and van Leeuwen's (1996) concept of gaze, she does not appear to establish eye contact with the viewer (1996: 121-130). Her eyes are covered by her mask but her face, though turned to us in both panels, does not point directly at us; her head is tilted downwards in the first panel and turns to her left as we view her from a position slightly behind her in the second panel. This absence of gaze at us places us in the role of an invisible observer and indicates a third person perspective in the pictures. According to Kress and van Leeuwen's (1996) vertical angles, the slight low angle of both pictures where we are looking up at Batgirl creates represented participant power and makes her seem more imposing (1996: 146-148). Using Kress and van Leeuwen's (1996) horizontal angles, oblique angles are created by Batgirl's body being presented to us at sideways angles (1996: 140-146). This detaches us

from her and enhances her power, making her a removed character who we see as being apart from us.

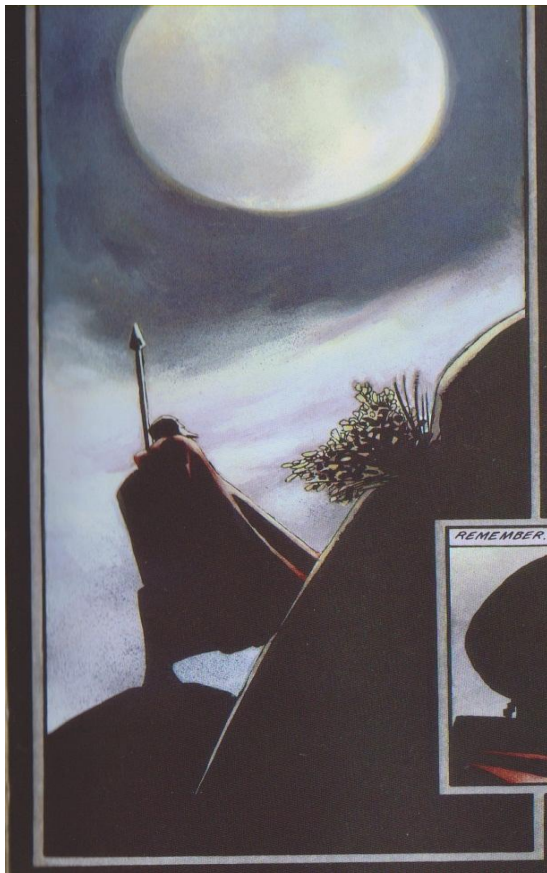


Fig. 4.3.3b (Miller and Varley, *300* (2006), chap. 2, pg. 2.)

Using Kress and van Leeuwen's (1996) image distance and vertical and horizontal angles, figure 4.3.3b is a very long shot which comes from low and oblique angles (1996: 130-135, 140-146, 146-148). The long distance shot presents Leonidas in an impersonal way and he is made to seem distant, physically and mentally. The low angle imbues him with greater power and places him above us visually and metaphorically. Viewing him from a sideways oblique angle creates a sense of detachment from him as well which enhances his power and distance and makes him seem removed and lofty. Viewing Leonidas from a position behind him so that we are seeing his back also increases our detachment from him. But the rear, low angle shot of the picture guides us to look in the same direction as Leonidas (upwards at the sky) so

that we see what he does (the moon). This reflects his visual point of view from a position near to, but not the same as, his, marking the visual B(R) narrative perspective of the picture. According to Kress and van Leeuwen's (1996) concept of gaze, there is no gaze at the viewer from Leonidas so he is offered to us as a subject for observation and a third person visual perspective is indicated (1996: 121-130). We have a narrator's third person view of Leonidas, but it is a view that also reflects Leonidas' point of view. The perspectives of the third person narrator and the reflector character almost align in this visual B(R) example, but not quite so that the narrator and character still remain separate, though close, in their perspectives. In B(R) narrative pictures then, the narrator plays a simple mediating role in conveying the point of view of the character with none or little of his/her interpretations and/or opinions being expressed in or influencing the image, though s/he retains a distinct, third person positioning outside of the character's first person consciousness and direct visual point of view. A category B(R) image is perhaps best identified if it is positioned from behind a character so that it offers an over the shoulder viewpoint. The narrator is not confined within a reflector character's first person perspective and will take up a position near to and in the viewing direction of the character so that their perspectives are close to one another and almost synonymous.

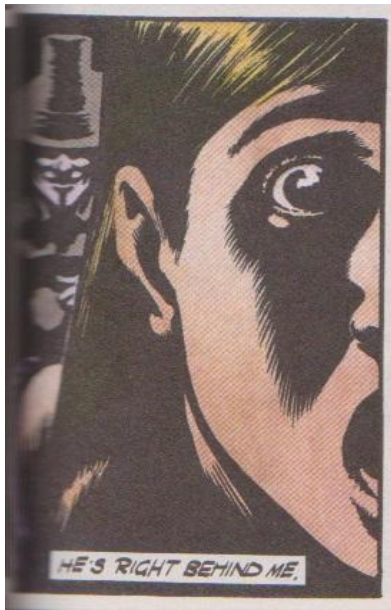


Fig. 4.3.3c (Moore and Lloyd, *V for Vendetta* (2000), book 2, chap. 9, pg. 147.)

Using Kress and van Leeuwen's (1996) image distance and vertical and horizontal angles, figure 4.3.3c provides us with an extreme close-up, eye level, frontal angle view of half of a woman's face (1996: 130-135, 140-146, 146-148). The extreme close-up brings us into close personal proximity with her and we become intimate with her as a result. Viewing her from her eye level helps bring us closer to her perspective as well as it places us on her level. A frontal angle shot of the woman's face creates involvement with her and draws us into her world, allowing us to identify with her. According to Kress and van Leeuwen's (1996) concept of gaze, her gaze directed straight ahead at us forms an eyeline vector with the viewer and establishes eye contact with us, though we know that we are not the intended recipient(s) of her gaze and she is not actually looking out at us (1996: 121-130). This creates a connection between the female represented participant and the viewer which helps to generate empathy for her. Because we are brought so close to the female represented participant visually in distance, angles and eye contact, she is indicated to be the focalizer character whose point of view is being reflected. The visual B(R) perspective in figure 4.3.3c is not located from behind the reflector character but in front of her, looking right into her

face. The over the shoulder shot here focuses on what is behind the female character: a sinister figure following her. Rimmon-Kenan's (1983) psychological facet of focalization becomes relevant here as the internal focalization in this picture is not so much a perceptual one but a psychological one (1983: 77-82) (see section 2.4 of chapter 2). It is the fear of the female focalizer character and her awareness of the dark figure right behind her that is being highlighted in this picture rather than what she is seeing. The angle of the picture is not facing in the direction of the female focalizer's sight but counter to it. The extreme close-up view of half of the female character's fearful expression from her eye level, the apparent proximity of the pursuer she is running from behind her, and even the narrow frame shape of the panel box (squeezing the characters in the picture closer together, creating no space between them, enhances a feeling of claustrophobia) all emphasize the female reflector's psychological point of view. Her inability to escape from her shadowy stalker and her panic and terror of being caught by him are foregrounded in the picture. So perceptual focalisation is not the only type that can be conveyed visually in comics, psychological focalization can be visually generated too.

4.4 Summary

This chapter has demonstrated how Fowler's (1986) internal and external narrative perspectives (section 4.2) and Simpson's (1993) A, B(N) and B(R) narrative categories (section 4.3) can be applied to comics both visually and textually.

Fowler's (1986) internal narration, rooted from the perspective of a participating character within a story, is generated visually in images when the restricted viewpoint of a character is conveyed, such as in pictures that place us behind the eyes of a character and allow us to see what the character sees directly, or in over the shoulder shots from behind a

character. Fowler's (1986) external narrative perspective is conveyed visually in images when pictures come from the perspective of an invisible camera, allowing us to view characters and their surroundings from an external observer's point of view.

Simpson's (1993) narrative category A perspective occurs in images when the first-hand, direct visual perspective of a character is depicted, showing us what the character is seeing and conveying the limitations of the character's perceptual point of view. Simpson's (1993) narrative category B(N) perspective in images occurs when a picture seems to come from an external narratorial point of view that does not belong to any character within the story. And Simpson's (1993) narrative category B(R) perspective in images originates from a position close to but not the same as a character-focalizer's. It is often identified by over the shoulder shots located from behind characters which reflect the direction of a character's sight and hence his/her perceptual point of view.

This and the previous two chapters have focused on the topic of narration and multimodal narration, outlining some of the key linguistic concepts and models of narration, introducing a visual framework for analysing images from Kress and van Leeuwen's (1996) visual grammar, and applying Fowler's (1986) and Simpson's (1993) narrative models, visually and textually, to the multimodal medium of comics. My exploration of narration in comics and the first part of this thesis come to a close here. The second part of this thesis which follows focuses on the presentation of two types of discourse: speech and thought. The next chapter moves on to the subject of speech and thought presentation with an overview of its background literature.

Part Two

Speech and Thought Presentation in Comics

Chapter 5: Background Literature on Speech and Thought Presentation

5.1 Introduction

Narration and its multimodal form in comics has been the subject of previous chapters. I now move onto the second part of this thesis which deals with speech and thought presentation in comics. In this chapter, I present an overview of speech and thought presentation. Speech and thought presentation may be referred to generically as 'discourse presentation', though the term 'discourse' denotes a wider meaning encompassing all kinds of written and spoken communications, hence 'speech and thought presentation' remain the more accurate and specific terms to use. Speech and thought are separated because they are different discourses. Speech refers to external spoken discourse which can be heard directly; thought refers to internal mental discourse which is private to the thinker. This chapter will serve as an introduction to speech and thought presentation which will be the focus of chapters to follow. In the chapters to come (from chapter 7), speech and thought presentation in comics will be addressed. The presentation of speech and thought in texts is concerned with how spoken and mental dialogue is represented. In narrative texts, discourse can be reported in various ways, from short summaries to detailed reports of the contents of utterances or thoughts. This chapter will cover concepts, theories and models that are important in speech and thought presentation theory. This includes: diegesis and mimesis (section 5.2), which deals with the 'telling' and 'showing' of information; transparency versus opacity (section 5.3), which refers to the clarity or ambiguity of referential terms; illocutionary force (section 5.3), which is the intended effect generated by a speech act performed by a speaker through an utterance; deixis (section 5.4), which addresses linguistic markers of spatial, temporal, personal and social proximity and distancing which indicate a positioning and/or a point of view; speech and

thought presentation scale models (section 5.5), which propose categories of discourse presentation based on degree of faithfulness to an original discourse which is being reported; dual voice theory (section 5.6), which explains free indirect discourse presentation as the merging of the narrator's and character's voices; and anti-mimetic theories of speech and thought representation (section 5.7), which challenge the categories of the faithfulness-based models of discourse presentation and argue that fictional discourse is invented rather than imitative of an original discourse situation. In the final section of this chapter, I conclude with a summary of its contents and reject anti-mimetic theories in favour of a faithfulness-based model of discourse presentation (section 5.8). Speech and thought presentation theory revolves around the idea that speech and thought are presented in direct and indirect forms in prose texts. The theories discussed in this chapter provide insight into why this distinction exists and how it is defined. From the discussions of speech and thought presentation theories in this chapter, my position on speech and thought presentation theory is a mimetic one, which is why I use a faithfulness-based speech and thought presentation scales model, specifically Leech and Short's (1981) speech and thought presentation scales, in the chapters to come. Despite the anti-mimetic theories of speech and thought representation, the mimetic faithfulness-based speech and thought presentation scales model remains more well-defined, easier to use and applicable to a wider range of texts (not just fictional presentations of speech and thought, but factual presentations too). The reasons for my mimetic position on speech and thought presentation theory will become clearer in the sections to follow.

5.2 Diegesis and mimesis

I begin this chapter with an explanation of the concepts of diegesis and mimesis in which indirect and direct forms of discourse presentation are rooted. Rimmon-Kenan (2002)

describes diegesis and mimesis as ‘telling’ and ‘showing’ (2002: 107-108). Diegesis or ‘telling’ is a mediating narrator’s report of events or discourse, such as in narrative texts. Mimesis or ‘showing’ is the direct, apparently unmediated presentation of events or discourse which allows the audience to ‘see’ or ‘hear’ them, such as in films, pictures and direct speech quotes.

The Platonic distinction between *diegesis* and *mimesis* (*Republic* III, 392D-394E) correlates with the linguistic concepts of indirect and direct discourse, though originally, Plato never outlined any formal definition for the two. He explained diegesis and mimesis simply in terms of narration versus speech, disavouring the representation of dialogue in preference of the words of a narrator. There have been various conflicting interpretations of Plato’s text which can be seen in narrative theory, philosophy and even basic linguistic analysis today.

The comparison between direct and indirect speech representation and mimetic unmediated representation and narrator-mediated summary comes from Plato’s example text and has linked the issue of speech and thought presentation with narrative representation and mediation (Fludernik 1993: 26). Plato’s rewriting of a piece of direct speech from Homer’s *The Iliad* into indirect discourse suggests that indirect discourse need only maintain the illocutionary force or essential intended message of the original utterance, but can alter the language and linguistic structure of the original utterance in the report of it. This is a useful basic definition for indirect discourse which conveys the core message of an utterance but not the exact form of it. In converting an example of direct speech into indirect speech then, Plato also addresses the position of the narrator as the source and presenter of a story and all dialogue within it. The issue of narrative mediation thus becomes involved in the representation of speech and thought.

Plato takes narrator-mediated indirect representations of speech to be as faithful in their reports as unmediated direct speech representations. But where Plato does not regard narrative mediation in indirect discourse as unreliable and un-mimetic in its report of dialogue, Genette (1980) and Chatman (1978) align indirect speech with diegesis and consider it a narrative ‘distortion’ of the original utterance, highlighting a narrator’s subjective point of view and style. They view narrative report of dialogue as inherently unreliable and not a full and true representation of the original dialogue. And they extend their considerations of mimesis to potentially include reports of actions as well as speech, regarding objective descriptions of action as a ‘mimesis of events’ (Genette 1980: 164; Chatman 1978: 33).

Plato’s considerations of mimesis and diegesis took place within the context of drama, and diegesis, to him, was not simply any type of narration, but explicitly the narrator’s direct speaking voice. Nowadays, Plato’s original thoughts about diegesis have been replaced by the equating of diegesis with narration in general, encompassing everything in the ‘telling’ of a story except direct presentations of discourse that are not from the narrator but from other characters (Fludernik 1993: 28). Genette (1980) says that narrative descriptions of action can seem mimetic, but they are not examples of pure mimesis, which are only possible in visual and audio mediums such as drama:

In contrast to dramatic representation, no narrative can actually ‘show’ or ‘imitate’ the story it tells. All it can do is tell in a manner which is detailed, precise, ‘alive’, and in that way give more or less the illusion of mimesis – which is the only narrative mimesis, for this single and sufficient reason: that narration, oral or written, is a fact of language, and language signifies without imitating.

(Genette 1980: 164)

Therefore, Genette considers only quotations of direct speech to be true mimetic representations, because only speech can be imitated reliably in narrative.

Chatman (1978: 33), in contrast to Genette, argues that objective reports of action are mimetic, as direct speech quotations are. So for him, there may be two possible types of narration: diegetic and mimetic. Diegetic narration would make noticeable the mediating presence of a narrator, expressing the narrator's own style and manner in storytelling. Mimetic narration would include descriptions of events that keep narrative mediation to a minimum, where a narrator may simply and factually report what happens in a story with no evidence of bias, personal opinion or influence from their point of view and little to no narrative modification, alteration or 'distortion' in the report, thereby presenting a truthful and accurate account of events.

But both Genette and Chatman acknowledge that direct discourse in narrative reports are second-hand representations and thus, unavoidably, an inexact replication of original speech. Where they differ with their distinctions of mimesis and diegesis is on the medium (for example, drama or text) and mediation (how precise, reliable and undistorted a narrative report is) of narration. Genette adopts a stricter interpretation of mimesis and diegesis by considering all narration diegetic and only direct discourse presentations to be mimetic, whereas Chatman includes objective, unmediated reports of action in his more liberal and broader interpretation of mimesis as well and limits diegetic narration to narrator-highlighting, mediated narrative.

Stanzel (1979/1984) takes Chatman's concept of mimetic action reports and emphasis on narrative mediation further by saying that all fiction is mediated and, from this idea, narration that 'shows' through physical and visual descriptions *backgrounds* its diegetic quality whilst narration that 'tells' foregrounds the mediating role of the narrator. According to this view, all narration is diegesis (and mediated) except for direct discourse. Mimesis in narrated fiction is achieved through diegetic means, but proper mimetic elements can be found in direct discourse quotations. Genette argues that action cannot be represented by

language and hence reports of action cannot be mimetic (limiting mimesis to direct speech and thought). But Stanzel and Chatman, though saying that all narration is essentially diegesis, describe narration which is seemingly unmediated and which shows rather than tells information as mimetic (but not truly mimetic like direct speech and thought) (Fludernik 1993: 29).

Diegesis and mimesis are concerned with different aspects of narration. Where diegesis is more concerned with mediation (the highlighted presence of a narrator) in narrative, mimesis is more to do with the form or type of medium through which a story is presented. There are two primary ways to consider diegesis and mimesis in general: 1) Diegesis could be broadly applied to all types of mediums that narrate a story: fiction, drama, film, jokes and so on; 2) visual mediums, like film and drama, might need to be distinguished from linguistic mediums, like fictional text, because they are mimetic by nature and non-narrative (as there is no obvious narrator telling the story). In this second case, only linguistic mediums could be considered to be narrative and diegetic, as they possess mediating narrators who tell a story through their own words.

The debate as to where the boundaries of diegesis and mimesis lie continues. But generally, I agree that linguistic forms of narration reside within the diegetic realms, whereas visual mediums and direct discourse quotations belong to the mimetic realms. The level and/or form of narrative mediation required to be diegesis varies across scholarly sources. And whether mimesis can be extended beyond visual modes of presentation and direct discourse presentations to reports of action and physical and scenic descriptions has been argued by Chatman (1978) and Stanzel (1979/1984). If mimesis is applied to visual modes of presentation, direct discourse quotations and possibly descriptive narratives, then visual and linguistic forms of mimesis must be distinguished from one another; drama and film, from

which stories can be seen, are not mimetic in the same way as what Chatman and Stanzel would call mimetic action reports in textual narration.

Next I bring up the concepts of transparency and opacity and the concept of illocutionary force from speech act theory. Transparency and opacity (Fludernik 1993: 32-33) are concerned with the truthfulness of referential terms and, in the case of speech and thought presentation, reports of speech and thought. The illocutionary force refers to the speech act performed by a speaker with an utterance and is a feature preserved in indirect speech and thought.

5.3 Transparency versus opacity and illocutionary force

In a sentence such as: ‘Peter believes that Susan Grey is the manager of the store’, there can be a *transparent* and an *opaque* reading of it (Fludernik 1993: 32-33). In a transparent interpretation, the sentence correctly presents a belief by Peter about the individual he knows as Susan Grey: that she is the manager of the store. Whether or not Susan is actually the manager of the store could be true or false. In an opaque interpretation, there could be a discrepancy between the knowledge of the sentence reporter and the subject of the sentence, Peter, about Susan Grey. If the reporter of the sentence refers to the person about whom Peter holds a belief by name (Susan Grey), but Peter himself holds the belief that someone he cannot identify by name is the manager of the store or even mistakenly takes that person to be somebody else, then the truth value of the sentence may become questionable. Peter may believe that the woman whom the sentence reporter refers to by name, Susan Grey, is the store manager, but this may have been because he thought Susan to be someone else, such as Jean Simmons (who would be the actual person that Peter believed to be the manager of the store), and this would make the sentence presenting his belief about Susan incorrect and thus

false. If it was the case that Peter believed a woman that he was pointing out was the manager of the store, but did not know that woman's name was Susan Grey, then the sentence would be a correct rendering of Peter's belief like in the transparent reading of it, as the woman he is pointing and referring to is the same as the reporter's reference to her by name (Susan Grey). It is the reporter of the sentence that refers to the woman that Peter believes to be the store manager by name in this case, perhaps for the sake of the listener or audience; this introduces some of the reporter's omniscient knowledge in the reporting of Peter's belief about a woman he does not actually know the name of.

Transparency and opacity then are concepts that deal with the truth value of substitutable references to a person or object, such as 'Jim Summers' or 'Rachel Summers' dad', which may vary in different actual contexts of use. Transparency (the ability to substitute referentially equivalent terms without affecting the truthfulness of a statement) is limited in contexts like those of knowing, belief or intention, and this allows referential terms in statements to become opaque (less substitutable with other referentially equivalent terms) in those types of contexts. Contexts that restrict transparency and are potentially opaque are called *intensional* (Fludernik 1993: 32-33). The more transparent a reference, the clearer the person or object it refers to. The more opaque a reference, the more ambiguous the person or object it refers to. In the case of speech and thought presentation, direct speech and thought are transparent presentations of utterances or thoughts as they claim to present speech and thought truthfully; indirect speech and thought are opaque because they do not claim to be truthful presentations of speech and thought and thus they leave a degree of ambiguity in their report of the content of an utterance or thought.

Definite descriptions of an individual whose identity may not be known, such as 'the woman in the green skirt', are called *attributive* (rather than *referential*) by Donnellan (1966/1971), Cole (1978b) and Hellan (1981). The early philosophical distinction between *de*

re and *de dicto* modalities addresses the ambiguity of these definite descriptions and is where the concepts of transparency and opacity have developed from. The *de re/de dicto* distinction suggests that referential terms are either clear, unambiguous and direct (*de re*/transparent) or vague, attributive and indirect (*de dicto*/opaque) references to someone or something. In a sentence like: ‘Peter believes that the manager of the store is a spy’, the definite description ‘the manager of the store’ could be taken as *de re*, referring to the actual individual who is the manager of the store (who may be known by the sentence reporter by name as ‘Susan Grey’, or simply just by her job title of ‘manager of the store’), or it could be interpreted as *de dicto*, referring simply to ‘the manager of the store’ whoever that may be with the sentence reporter not actually knowing or specifically referring to the identity of that person. But there is an underlying assumption here that the most proper and preferable way to refer to an individual is by their name (transparently/*de re*), and this would mean that all other descriptive references to a person would be essentially opaque and *de dicto*.

Searle (1979) rejected the *de re/de dicto* distinction, pointing out that both attributive and referential beliefs can be *de re* or *de dicto* (1979: 160). He distinguishes between a primary and secondary aspect of a proposition which correlates with Donnellan’s (1966/1971) referential and attributive descriptions. The primary aspect highlights the topic of the sentence (e.g. ‘About Susan Grey, Peter believes she is a spy.’); the secondary aspect describes the predication of the sentence (e.g. ‘Peter believes Susan Grey is a spy.’). These aspects can create different reports of an original proposition or utterance which would hold the same truth value and conditions as each other. This demonstrates Searle’s important point of the independence of truth value from the report that is given of it.

Austin’s (1955/1980) speech act theory suggests that some utterances are speech *acts* that not only assert ideas but also *effect* changes in the world. He distinguishes between three types of speech act: the locutionary act, which is the utterance itself; the illocutionary act or

force, which is the speech act or action that a speaker performs in saying an utterance, such as making a request, promising, commanding, asking, threatening, etc.; and the perlocutionary act, which is the effect of the of the illocutionary act (Austin 1980: 102-128). If the utterance: 'It's cold in here' was spoken in a room with open windows, the illocutionary act intended by the speaker could be to make a request for someone to close the windows, and the desired perlocutionary effect would be to produce the result of someone closing the windows. Through the utterance 'It's cold in here' (the locution), an illocutionary force of making a request is created and, if others respond to this indirect request, the perlocutionary effect of someone going to close the windows would be achieved as a result, or another unintended perlocutionary effect may arise, such as someone telling the request-maker to put on a coat. Others may not always necessarily respond in the desired way to the illocutionary acts of speakers: requests can be ignored or rejected, threats may fail to intimidate and provoke anger instead, commands may be disobeyed, etc., so perlocutionary effects can vary and sometimes be unpredictable.

Indirect speech is known to preserve the propositional and illocutionary content but not the exact wording of an original (direct) utterance, for example, 'I'll see you tomorrow' could be reported indirectly as 'He said he would see her the next day'. Because illocutionary acts are commonly identified with the reporting clauses of indirect discourse, e.g. 'She promised to -', 'Glen ordered them to -', the propositional content of an original utterance could be considered secondary in importance in indirect discourse. The propositional content of an utterance is the proposition of what is said rather than its speech act, e.g. the proposition of 'It's bedtime' would be that it is now time to go to sleep, whilst the illocutionary force might be to prompt the addressee to go to bed. Indirect discourse then could be described as conveying an utterance's illocutionary meaning first and foremost, then adhering to the propositional content of the utterance's locutionary speech act as long as it does not interfere

with the illocutionary force of the utterance. If ‘I wonder if you would be kind enough to help me’ was reported as ‘She wondered whether he would be kind enough to help her’, this would not, strictly speaking, be a reliable indirect presentation of the original utterance, as the original speaker is not engaged in the thought act of ‘wondering’ as reported in the indirect discourse presentation (Fludernik 1993: 38-39). The propositional content of the original utterance would thus not be preserved in a reliable indirect presentation of the utterance in this instance; only the essential illocutionary act of the utterance might be reported: ‘She asked him if he would help her’.

The concepts of transparency and opacity and illocutionary force are most relevant for indirect discourse. They are concerned with the existence of an original utterance from which reports originate and most of their examples come from non-fiction. The context in which utterances or propositions are used is also important for determining interpretations of terms of reference and the illocutionary force of utterances. And it is the truthful preservation of the essential message and content of original utterances or propositions in indirect discourse that is concentrated on by transparency and opacity and speech act theory. It is not possible for indirect discourse to always be an accurate, detailed and reliable presentation of an original (direct) utterance. The conversion from direct to indirect discourse brings a reporter’s choices, bias and opinions into the construction of the indirect report and can involve a loss in transparency and a rise in opacity which gives rise to ambiguity and vague references. But what indirect discourse does aim to maintain from the original utterance is the illocutionary force and, where possible, the propositional content.

A special group of linguistic markers that can be used to identify direct and indirect discourse is discussed in the next section. These linguistic markers are known as ‘deixis’. They include terms and expressions that indicate spatial, personal, temporal and social positioning, distance and point of view.

5.4 Deixis

The choice of deixis used in a text may be indicative of the viewpoint of the narrator or a character or perhaps both. Deictic expressions will often shift between narrative and discourse presentation because of the differing positions and viewpoints they are coming from. Deictic terms are ‘pointing’ expressions like demonstrative determiners or pronouns ‘this’ and ‘that’ and adverbs ‘here’ and ‘there’. It also includes personal pronouns ‘I’ and ‘you’, deictic verbs like ‘come’ and ‘go’, temporal adverbs like ‘now’ and ‘then’ and social deixis in the use of informal first or formal last names and address terms (e.g. ‘Katie’ or ‘Miss Stone’). Even tense has a deictic function of locating the speaker in the past, present or future (Short 1996: 269-274), though it is not deictic as its interpretation is not dependent on knowing the location in space and time of the speaker. Deixis indicates the position of a speaker spatially, temporally, personally and socially and suggests the distance between things in fiction. Deictic expressions can generally be categorised as either distal (remote, distant, e.g. ‘there’ and ‘then’) or proximal (near, close, e.g. ‘here’ and ‘now’), and they can *exophorically* (Halliday and Hasan 1976) refer to entities, locations or points of time outside of a text or *endophorically* (Halliday and Hasan 1976) refer to an entity previously mentioned within a text. ‘It’s over **there**’ would be an exophoric use of the deictic ‘there’; ‘I used to go to Scotland a lot. But I haven’t been **there** in a while now’ would be an endophoric (or more specifically, *anaphoric* as it refers to the preceding utterance) use of ‘there’.

Bühler (1934) explained a speaker’s choice of deictic terms as being in reference to the speaker’s *ego-hic-et-nunc* or *deictic centre*. He distinguished between three uses of deictic centre (1934: 133-139). The first involves imaginatively transferring an object into an imagined space and seeing how it fits into this place. The speaker acts as an observer who is

imagining the object in relation to other objects within the space that it has been transferred into. The second case involves the speaker transferring his or her own self or consciousness to a different location and perceiving the imaginary space from the viewpoint of his or her transferred deictic body position, as happens in a guidebook description which gives directions. The third case involves two deictic positions related to one another: the speaker stays at his or her original position, but at the same time imaginatively points towards the position of an object. An example of this in fiction would be someone observing his or her younger self in the past from a distant present time position, perhaps in a flashback memory. The deictic centre would remain with the speaker's or observer's position, giving his or her perspective on the object of his or her focus.

Benveniste (1966/1971) distinguished between the first and second persons 'I' and 'you' and the third person 'he'/'she'/'it'. The first and second persons refer to the speaker and addressee whereas the third person emphasises the events or processes that are being reported rather than the 'enunciator' or speaker reporting them. First and second person narratives and discourse thus display the relationship between a speaker and addressee in their 'enunciation', utterances or reports and are considered subjective; third person narratives do not refer to the speaker or addressee or their interactional situation but focuses on the reported content, making third person reports impersonal and objective. Benveniste termed his distinction between first and second persons and third person *discours* and *histoire*. *Discours*, meaning discourse or conversation, refers to speech or writing that implies the presence of a speaker and an addressee and is marked by present tense and deixis (such as pronouns 'I' and 'you' and adverbs 'here', 'now' and 'there'). *Histoire*, meaning story or history, refers to texts that relate events without reference to the speaker/writer or the addressee/reader and are without deixis and use simple past tense. Direct discourse involving the subjective use of first and second persons is exemplary of *discours* whilst objective third

person narratives and their indirect discourse presentations are cases of *histoire*. Benveniste's distinction between *histoire* and *discours* has problems though. Benveniste originally discussed these concepts in regards to the temporal system of the French language and thus they may be limited in applicability and general validity to other languages. Also, first person (homodiegetic) narration that narrates in past tense is not accounted for by Benveniste's theory. It does not come under *discours* because it is a case of narrative rather than discourse and it occurs in narrative past tense. And neither does it come under the *histoire* category which only considers third person narratives. *Histoire* is an idealistic concept that focuses only on third person narratives involving an objective third person narrator, but it does not account for first person narratives or even third person narratives that are written to reflect the personal and subjective point of view of a character within the story.

As well as person deixis that distinguishes between first, second and third person narratives, there is spatial deixis concerned with physical positioning and location. Spatial deixis is a marker for direct and indirect speech and thought as character and narrator viewpoints and voices are conveyed by their indicated spatial positioning and distance from surrounding people and/or objects referred to. Direct speech and thought would convey information from the perspective of a speaking character's spatial position. Indirect speech and thought would be located from a reporting narrator's spatial perspective. Langacker (1985, 1990) distinguishes between two types of deixis: one which explicitly refers to the subjective ground (where the speaker is situated) and one which implicitly suggests it. In explicit references to the ground, an element of the ground is highlighted, creating an 'egocentric viewing arrangement'. Examples of this would include: 'I put it in here', 'This is perfect' and 'the boy next to me' which centre on the speaker's position through the use of use of the adverb 'here', the demonstrative pronoun 'this' and the prepositional phrase 'next to me'. In implicit references to the ground, ground elements are not highlighted and are

excluded from a scene description, though the ground is implied as a point of reference for deictic expressions, creating an 'optimal viewing arrangement'. Examples of this include: 'There was litter all around', 'He was last seen on Thursday' and 'the next street down' which omit explicit and direct reference to and do not centre on the speaker's deictic position, only indirectly implying it with the prepositional phrases 'all around' and 'on Thursday' (referring to the Thursday previous to the time of utterance) and the noun phrase 'the next street down'. Though the explicit egocentric viewing arrangement overtly refers to the speaker's deictic ground positioning, it is more objective than the implicit optimal viewing arrangement, which is often interpreted as more subjective. This can be seen in third person sentences such as 'There was a light above him' and 'There was a light above'; the first sentence could be construed as an objective narrative report whilst the second sentence would be read as the male character's own subjective perception. With this distinction between explicit and implicit deictic reference to subjective ground, Langacker has shown that objectivity is achieved through explicit mentioning of an individual's subjective position whilst subjectivity is achieved through implied subjective ground in objective sentences and descriptions.

The deixis of direct discourse often changes when converted into indirect discourse, for example, present tense in direct discourse might be switched into the past tense of the narrative for indirect discourse. Thus deixis is an important distinguishing feature in direct and indirect discourse. Deictic centre, the distinction between discourse and story narrative and explicit and implicit deictic references to speaker position are theories that can address the shifting deictic expressions between direct and indirect speech and thought reports which reflect the differing positions and perspectives of first person and third person speakers and narrators.

In the next section, I introduce scale models of speech and thought presentation, such as Leech and Short's (1981) speech and thought presentation scales, which are based on the faithfulness of a reported speech or thought to an original discourse. I share this faithfulness-based position on speech and thought presentation. In the next chapter (6), I go into more detail about Leech and Short's (1981) speech and thought presentation scales, before applying these scales to comics in chapter 7.

5.5 Speech and thought presentation scale models

Perhaps the most useful models for analysis of speech and thought presentation in texts are scales that place categories of speech and thought presentation along a diegetic to mimetic cline, i.e. progressing from types of discourse presentation that involve the most narrator intervention (diegetic) at one end of the scale to types of discourse presentation that claim to quote directly the actual wording of utterances or thoughts and thus involve minimal narrator intervention in the report (mimetic) at the other end of the scale. These speech and thought presentation scales are based on how faithful a reported speech or thought claims to be to an original utterance or thought.

McHale (1978) proposed seven categories of discourse presentation:

- (i) Diegetic summary - The narrator's report simply that a speech event has occurred without any specification of the content or manner of speech.
- (ii) 'Summary, less "purely" diegetic' - The narrator's simple report that a speech event has occurred expanded by a description of its content, topics or the manner of its delivery.

- (iii) Indirect content-paraphrase - The paraphrased reporting of the content of a speech event with no concern for the style or form of the original utterance. It is a type of indirect discourse that provides a different but true rendering of a character's utterances or thoughts, maintaining the essential, conceptual content of the utterance or thought.
- (iv) Indirect discourse - An indirect representation of an underlying direct discourse. It may keep some of the expressive lexis or grammar of the direct discourse, but is told always from the reporting narrator's position. It is mimetic to some degree as it may preserve some of the expressive elements of the direct discourse.
- (v) Free indirect discourse - A grammatical and mimetic intermediate between indirect and direct discourse. It can be mimetic to any degree short of the pure mimesis of direct discourse.
- (vi) Direct discourse - The most purely mimetic report of discourse, claiming to quote the actual wording of utterances or thoughts. But it should be noted also that novelistic dialogue is conventionalized or stylized to a degree, usually omitting most of the non-fluency features of real speech and thus is not a completely accurate and detailed transcription of actual speech.
- (vii) Free direct discourse - This is direct discourse that is unmarked by typographical means, often being presented without quotation marks and reporting clauses. In thought presentation, this often leads to interior character monologues with no framing third person narrative.

(McHale 1978: 258-259)

McHale's discourse presentation categories identify and categorize types of speech and thought presentation in texts according to how truthful and accurate they are to the speech or

thought being reported. The categories form a cline that progresses from diegetic to indirect to mimetic direct categories, gradually increasing in degree of faithful quoting of utterances or thoughts.

McHale's discourse presentation categories were followed soon after by another formal scale model which contains similar categories of speech and thought presentation: Leech and Short's (1981) speech and thought presentation scales. Leech and Short's (1981) speech and thought presentation scales retain some of McHale's discourse presentation categories (iv-vii, indirect to free direct discourse) but omit others (i-iii, diegetic summary to indirect content-paraphrase). The categories of Leech and Short's scales include: narrative report of action (NRA), narrative report of speech or thought (NRS/NRT), narrative report of speech or thought acts (NRSA/NRTA), indirect speech or thought (IS/IT), free indirect speech or thought (FIS/FIT), direct speech or thought (DS/DT) and free direct speech or thought (FDS/FDT). It should be noted that the terms for these speech and thought presentation categories have varied over the years in different publications (by Short, particularly). The various changes to Leech and Short's original (1981) scales are discussed in more detail in the next chapter (6). In addition to their scales, Leech and Short made the important discovery that though the scale is applicable to both speech and thought, there are different proportions and rates of occurrence between presentations of speech and presentations of thought. This also creates differing effects, such as irony and empathy, between equivalent forms of speech and thought presentation. Whereas DS is the most frequent and privileged norm for speech presentation, in thought presentation, direct forms are the least frequent, narrative thought reports and free indirect thought being the more common forms of thought presentation instead. And where empathy occurs with free indirect presentations of consciousness, there is no effect of empathy with free indirect presentations of speech. This is explained by the perceptibility of speech and the inaccessibility of

thoughts; utterances can be heard directly with no need for a narrator's report of them whilst access to a character's mind requires internal focalization by a narrator which produces the effect of empathy with the character's mind. Take for example:

[1] She wasn't lying, she told herself mentally. After all, she really did have something else to do this weekend. (FIT)

[2] She said she wasn't lying, that she really did have something else to do this weekend. (FIS)

There is a greater effect of empathy in the FIT example [1] than in the FIS example [2]. Because the dialogue is presented as occurring mentally to oneself in [1], it produces an effect of entering a character's private mind and thus providing us with an intimate view of her normally inaccessible thoughts. In [2], because the dialogue is presented as an utterance that can be heard, it loses its effect of intimacy with the character as it does not require internal access into the private mind of the character. Speech is an external, oral form of communication that is perceived by its sounds, while thought is an internal communication inaccessible to others in reality. We empathize with FIT but not FIS because access to thoughts is a more intimate process than access to speech. And a form of IT is more acceptable for thought presentation than a form of IS is for speech presentation. IT highlights the inaccessible nature of thoughts by acknowledging the presence of the narrator in the report of thought; but IS does not report speech in the way that it is normally delivered and perceived (in direct form). For these reasons, IT occurs more frequently than DT whilst DS is more common than IS in prose texts. In the next chapter (6), I will be discussing Leech and Short's speech and thought presentation scales in greater detail as I use it as the primary framework for my analysis of speech and thought presentation in comics.

Though discourse presentation scales clearly identify and categorize the main types of discourse presentation that occur in narratives and are straightforward to use, Fludernik

(1993) points out some problems with them. Because forms of discourse presentation can change so rapidly and transition so smoothly in narrative texts, it is not always easy to clearly identify and categorise them. There may often be cases of embedded forms of discourse within another type of discourse, for example, free indirect discourse within narrative reports or indirect discourse, or free direct discourse appearing unmarked without quotation marks in narration. None of the discourse presentation types occur by themselves in real texts and they take a variety of forms. More than one type of discourse presentation may blend together in a sentence or the forms may change quickly and subtly from one sentence to the next. This can lead to intermediate forms of discourse presentation that do not seem to fit clearly and purely in a single discourse presentation category, such as indirect discourse that is continued by free indirect discourse, ambiguous sentences that seem to be between narrative and free indirect discourse, narration or indirect discourse with expressive elements (see below), free indirect discourse with reporting clauses, verbless or incomplete sentences, and exclamations (Fludernik 1993: 311). It can become debatable which discourse presentation category a sentence belongs to when it possesses features of more than one category. And because discourse presentation can take various forms falling within and between categories, it also becomes hard to anticipate general functions and effects of each of the discourse presentation categories in different contexts. But these arguments against the discourse presentation scales remain unconvincing because even though not all presentations of speech and thought may fit neatly into particular discourse presentation categories, they are all encompassed by the scales and can be located somewhere along them. And there are some functions and effects that are commonly associated with certain discourse presentation categories, such as proximity and immediacy with DS and empathy and intimacy with IT and FIT. Despite the potential difficulties in categorizing some types of discourse and predicting the functions and effects of categories in different contexts, the discourse presentation scales remain a useful

tool for analyzing speech and thought presentation in texts. The discourse presentation categories provide clearly-defined measuring points for judging, grouping and comparing presentations of speech and thought against.

The next section discusses dual voice theory which explains free indirect discourse as being an intermediate between indirect and direct discourse and possessing features of both.

5.6 Dual voice theory

'Voice' refers to whether words in represented discourse could conceivably have been uttered or thought by the represented speaker or thinker. The theory of dual voices, the narrator's and the character speaker's, is commonly used to explain free indirect discourse. This theory also supports the mimetic scales of speech and thought presentation, working on the idea that free indirect discourse comes between indirect and direct discourse, being an intermediate between the two forms and possessing characteristics of both. Pascal (1977) described free indirect speech as serving "a double purpose": to 'evoke a person through his words, tone of voice and gesture, with incomparable vivacity' and to 'embed the character's statement or thought in the narrative flow, and more importantly, in the narrator's interpretation, communicating his way of seeing and feeling' (1977: 74-75).

Dual voice has been defined as "the retention of the narrator's temporal and pronominal deixis [...] and the integration of expressive features relating to the character's deictic centre" (Fludernik 1993: 322). This is the position adopted by Cohn (1966, 1978) and Chatman (1978). But a wider interpretation of 'dual voice' is now current: the merging or juxtaposition of narrator and character voices. This position is taken by many free indirect discourse studies, such as Pascal (1977), Jefferson (1980) and McHale (1978, 1983). Guiraud

(1971) describes the duality of free indirect discourse as "the primary speaker's voice and the secondary speaker's words" (1971: 85).

In additional support of free indirect discourse as a dual voice, Bakhtin (1981) writes about *heteroglossia*, 'another's speech in another's language', as constituting "a special type of double-voiced discourse" which "serves two speakers at the same time and expresses simultaneously two different intentions: the direct intention of the character who is speaking, and the refracted intention of the author" (1981: 324). Bakhtin (1984) clarifies further that his *double-voiced discourse* includes all discourse that 'has a twofold direction - it is directed both toward the referential object of speech, as in ordinary discourse, and toward another's discourse, toward someone else's speech' (1984: 185).

There are various potential ways in which dual voice can be expressed in texts. The language of the narrator may be flavoured with the words of a character speaker and vice versa. The voice of the narrator or character can be evoked through a variety of means: lexis, syntax, word order, deixis, figural expressions, indicated paralinguistic features such as intonation, volume and pitch, the propositional content of sentences, etc. And point of view can have an effect on the perception and creation of voice too, depending on whether an external narrator's or an internal character's perspective or focalization is adopted. Free indirect discourse thus can occur in more forms than perhaps indirect or direct discourse, because there are several possibilities in how the dual voices of the narrator and character can merge.

Sotirova (2006) looked at how readers assigned point of views to a free indirect discourse passage. Her aim was to test reader intuitions on single and dual perspectives in free indirect discourse. In her results, readers' intuitions were divided fairly evenly amongst participants that read the free indirect discourse passage as being from the perspective(s) of the narrator (single voice), the character (single voice) and both (dual voices). Among the

participants of the study were university researchers and undergraduate students, and there was a notable difference in their interpretations of the free indirect discourse passage: most of the undergraduates had a single perspective reading of the passage whilst almost all the researchers had a dual perspective reading. This difference in readings between researchers and undergraduates was suggested to show the effect of experience with reading and thinking about language on reader intuitions about narrative perspective; experienced readers are perhaps more sensitive to multiple narrative perspectives and so are more likely to have dual voice interpretations of free indirect discourse, whereas inexperienced readers are perhaps more likely to assign either the narrator's or a character's perspective only to narrative sentences, forming just single voice interpretations of free indirect discourse. From this study then, it would seem that readings of free indirect discourse vary from reader to reader, some perceiving the single voice of the narrator or character and some perceiving the dual voices of both. This seems to reflect the single versus dual voice debate surrounding free indirect discourse. Though the dual voice theory has reasoning behind it in that it originates from the formal linguistic properties of both the narrator and character(s) found in free indirect discourse (often the narrator's past combined with character's present and the narrator's third person reference combined with the character's subjective expressivity and idiom), Sotirova's (2006) article demonstrates that not all readers may have a dual voice interpretation of free indirect discourse; as many readers may have a single voice reading of free indirect discourse as a dual voice reading, and it may depend on how experienced in reading a person is.

Sotirova (2006) also showed that linguistic indicators of voice or cues for narrative viewpoint, such as emotive words, deictics, modal verbs and verbs of cognition and emotion, and cohesive links in sentences of narration, such as repetition of references and subjects, continuity of tense and conjunctions, work in complex ways in free indirect discourse. Their presence in sentences does not always create the same effect each time they are used, for

example, the sentence-initial conjunction 'and' may not always continue a narrative viewpoint from the preceding sentence, it may allow a shift in narrative perspective if the grammatical subject were to change. Formal cues for narrative viewpoint do affect readers' interpretations of narrative perspective, but the context in which they occur also plays a part in readers' interpretations, and cohesive links between sentences of narration do not always maintain a previous established narrative viewpoint from the preceding sentence, they can prompt shifts in narrative perspective as well. In free indirect discourse then, the potential for shifts in narrative perspective is evidence for more than one perspective that can be adopted. But whether readers have single or dual voice interpretations of the multiple narrator and character perspectives, whether they read them individually and apart or simultaneously and combined, varies.

Bray (2007) also conducted a study that tested whether readers constructed a dual voice when reading free indirect discourse and investigated whether the identification of point of view in narrative could be affected by succeeding as well preceding co-text. Bray, like Sotirova (2006), also had varied results in that his undergraduate participants had single and dual voice interpretations of a free indirect discourse passage too, some identifying the single perspective of either the narrator or the character and some identifying the dual voices of both the narrator and character. Bray suggested that the experience of dual voice readings may be found in "those who are familiar with free indirect discourse" (2007: 48). Bray also found that readers' interpretations of narrative perspective could be influenced by text following after an ambiguous narrative passage; readers could readjust their interpretations of previous narrative passages after reading delayed linguistic cues for a narrative perspective. Bray concluded that readers can go through "processes of reappraisal and recontextualization" as they read ambiguous narrative passages, updating their mental representations of the narrative world as they read further and possibly altering or confirming

their interpretations of previous passages (2007: 48). Readers may hold multiple possibilities for interpretations of perspective in free indirect discourse in their minds and only resolve this by subsequent linguistic indicators of point of view, or they may continue reading with no resolution to the ambiguity in whose point of view a narrative passage is adopting.

Sotirova's (2006) and Bray's (2007) studies demonstrate the complex and different ways in which readers may interpret perspective in free indirect discourse. They have provided evidence that not all readers have dual voice readings of free indirect discourse; there are single voice readings too. And readers form their interpretations of narrative voice and perspective from formal linguistic cues and cohesive ties to preceding and succeeding context and content. In general, the perception of dual voice in free indirect discourse is perhaps an acquired skill present mostly in regular and experienced readers who are more likely to be familiar with it. Less regular and experienced readers are perhaps more likely to have single voice readings of free indirect discourse that come from the narrative perspective of the narrator or a character.

The next section addresses anti-mimetic theories of speech and thought representation that counter the faithfulness-based speech and thought presentation scale models. Though I do not take the position of these anti-mimetic theories, they present an alternative way of viewing and analyzing speech and thought presentations and are worth mentioning for the problems and issues they highlight about the faithfulness-based models.

5.7 Anti-mimetic theories of speech and thought representation

In contrast to the scale models of speech and thought presentation which are based on the idea of an original discourse underlying all discourse presentation reports and that categorize discourse presentation in terms of degree of mimetic faithfulness to the original discourse

being reported (see section 5.5), there are anti-mimetic theories that view all discourse presentations as essentially narration, focusing on the role of the narrator as the creator and manipulator of all mimetic subjectivity in his/her discourse reports. These anti-mimetic theories support the idea of the single voice of the narrator in free indirect discourse as opposed to the mimetic scales concept of the combined dual voices of the narrator and character speaker.

In Banfield's (1982) *Unspeakable Sentences*, free indirect discourse is referred to as 'represented speech and thought' (RST) and is treated as an expressive function of language that occurs in narration independent from a communication setting (Jahn 1983). RST is explained to be the narrative's representation of *reflective consciousness and speech*, reflecting the speech and thoughts of characters within the narrative by presenting a direct flavour of them indirectly embedded within the language of the narrative. And there is a category of *non-reflective* consciousness too, which includes narrations of perception, feelings and beliefs. All sentences in narration are essentially non-communications in Banfield's theory, expressing or telling things autonomously to no intended recipient. Communicational structures involving sender-receiver, narrator-narratee, implied author-implied reader, etc. in narrative literature are challenged. But though literary narration is non-communicative, it still can use expressive discourse features, like emotive language, to create a mimetic presentation of a character's subjectivity.

Banfield regards third person texts generally as being narratorless. Only first person texts possess a narrator by her definition: a narrator can only be referred to with the first person pronoun 'I' and is the source of a text with all sentences being subjective to his/her point of view. With no narrator to unify the text, third person narratives are held together simply by narrative rules of consistency and textual cohesiveness, thus they are a more objective and mechanically-constructed type of narration.

Banfield's theory of narration as non-communication treats narratives as writing rather than types of discourse, which would seem more appropriate for literary texts. And the category of represented speech and thought (RST) encompasses more than the traditional free indirect discourse, including narrations of consciousness and perception too, though excluding direct presentations of utterances (Fludernik 1993: 360-361). This makes it easier to deal with types of narration and discourse that fall between pure narrative and free indirect discourse. But in regarding narration as non-communications and treating third person texts as narratorless, Banfield takes an oppositional stance to communicational sender-receiver configurations in narration and adopts a restricted first person definition of a narrator. The well-known narratological models of communicational levels and the notions of narrator mediation, third person and focalised points of view and dual voice in narratives are abandoned by her theory. And oral narratives, authorial narratives that address reader(s), authorial intrusions in third person narratives that suggest an authorial voice, and expressive types of third person narration that suggest a narrator's subjectivity but do not refer directly to a narrator with first person pronouns, are not satisfactorily explained. Banfield's theory thus is unsuitable for some types of third person narratives that display signs of an authorial voice, audience awareness and subjectivity.

Fludernik (1993) argues that there is no real original discourse situation that is being reported in fiction. She explains that discourse presentations in fictional texts are inventions rather than representations of imaginary dialogue (1993: 426). They do not imitate an actual instance of original discourse (for there is none in fiction), but rather, they create discourse that is appropriate to a given context. Evidence to support this thinking comes from the observation that written dialogue does not try to replicate many of the non-fluency features of actual speech, such as false starts, fillers, pauses, repetitions and other common mistakes in speech, unless it is for a deliberate effect, for example, to imply uncertainty in the speaker,

and even then, the non-fluency in written character speech is often more controlled and deliberate than in real natural speech. And written dialogue is often more emotive and expressive of a character's feelings than real speech usually is, for example, saying "I'm scared" out loud is more likely to happen in fiction than in real speech. Politeness is something more important and common in real speech situations than in fictional ones as well (Fludernik 1993: 426). What written dialogue is then is an idealized form of speech rather than a mimicking of it.

Fludernik proposes that mimeticism in fictional discourse is created by the use of expressive elements that evoke subjectivity. Markers of expressivity are not necessarily based from real instances of speech and thought, but they create *typical* or *schematic* formulations of discourse in texts (Fludernik 1993: 398-399). In direct discourse, expressive properties are to be viewed not as naturally inherent in this type of discourse, but as linguistic devices to signal or emphasize emotionality, indicating what the intonational and paralinguistic cues accompanying an utterance would if they could be perceived within the text. In indirect discourse, the use of expressive devices, particularly in the representation of consciousness, triggers a point of view reading and a character's voice, which then produces the illusion of immediate access to a character's mind. The presence of expressive features in any form of discourse makes the distinctions between discourse presentation categories less defined. The formal properties that have often been used to distinguish between the discourse presentation categories of the scale models, such as syntactic arrangement, pronouns and tense, are cognitively less significant to a reader than the use of expressive signals which attract a higher level of readerly attention (Fludernik 1993: 428-429).

Fludernik's argument that there is no original discourse situation in fictional narratives and that discourse presentation in them is invented rather than imitated is true in that speech in fiction is not an accurate transcription of real instances of speech, but is a mediated report

of imaginary utterances. By looking for expressive features of language as signals of subjectivity and not being preoccupied with identifying discourse presentation categories through formal grammatical features, Fludernik's approach to discourse presentation manages to better address cases of discourse that fall between defined discourse presentation categories from the scale models. But arguing that mimesis is a narratorial illusion generated by the expressivity in language seems to go against reader intuitions about the accuracy, reliability and faithfulness of discourse presentations. Cognitive stylistics is interested in explaining how real readers experience texts and the act of reading. The distinctions between direct and indirect forms and narratorial reports of discourse become harder to define with anti-mimetic theories of speech and thought representation because all discourse presentations are considered narrator-controlled. Indirect and narrative reports of discourse would be treated more or less as equal cases of narration, direct and free indirect discourse would contain equally direct expressions of character subjectivity, and even indirect discourse could contain subjective elements whilst maintaining its narrative reporting function. Expressive elements and grammatical features are dealt with as varying degrees of narrator manipulation and are not necessarily limited to specific discourse categories. The significance of a speaking character's voice in representations of his/her own discourse is reduced in favour of placing more importance on the voice of the reporting narrator alone, since the narrator is the one that creates and manipulates all expressivity in his/her narration to produce the impression of a character's subjectivity and words. In Fludernik's theory then, true mimetic representations of discourse do not exist, only diegetic narrative inventions of them with varying degrees of expressed subjectivity.

This anti-mimetic theory highlights the differences between real-life and fictional speech by reminding us that fictional discourse presentations are not like real instances of speech. Fictional speech presentations lack many of the natural non-fluency features of real

speech (such as fillers and false starts) and the intonational and paralinguistic (non-verbal) cues that accompany it. Fictional speech also tends to be more emotive and expressive of feelings than real speech which is often highly concerned with politeness and keeps expressions of feelings to a minimum. Despite highlighting these differences between real and fictional speech though, Fludernik's anti-mimetic theory of discourse presentation is reductionist, classifying all fictional discourse as narrator-sourced and diegetic and rejecting the idea of character-sourced and mimetic types of discourse presentation. The removal of mimetic representation from Fludernik's theory of discourse presentation reduces categories of discourse presentation based on claim of mimetic faithfulness to a diegetic continuum of degree of expressivity (see figure 5.7a). Degree of faithfulness claim is replaced by degree of subjectivity (marked by expressive elements) as the basis for classifying speech and thought presentation.

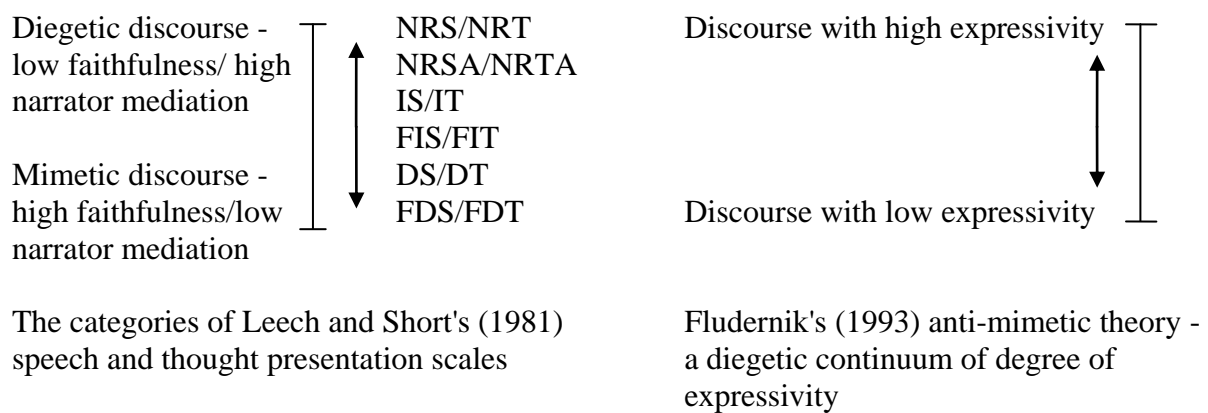


Fig. 5.7a - A comparison of mimetic and anti-mimetic models of speech and thought presentation

Fludernik's anti-mimetic approach to discourse presentation presents a challenge and alternative to mimetic models of discourse presentation such as McHale's (1978) categories of discourse presentation and Leech and Short's (1981) speech and thought presentation scales (see section 5.5), but it is not clear how exactly such an anti-mimetic theory could be applied to the analysis of texts. Fludernik does not propose any accessible framework or

model for her theory which could be used on texts. If discourse in texts cannot be categorised and the degree of expressivity in examples cannot be measured or ranked, then it becomes difficult to differentiate or link cases of discourse. And with fewer or no formal features to mark them, identifying types and categories of discourse presentation becomes subjective and inconsistent. This would limit the reliability and generalizability of a discourse presentation analysis.

We now come to the end of this chapter's topics and conclude with a summary of the theories discussed next.

5.8 Summary

This chapter has provided an overview of the linguistic concepts and theories underpinning speech and thought presentation (diegesis and mimesis, transparency and opacity, illocutionary force and deixis) as well as different theories and models of speech and thought presentation (McHale's (1978) categories of discourse presentation, Leech and Short's (1981) speech and thought presentation scales, dual voice theory and anti-mimetic theories of speech and thought representation).

Plato's distinction between *diegesis* and *mimesis* provides two main ways of presenting speech and thought: indirectly, through the mediating words of a narrator (diegetic), and directly, through direct, verbatim quotations (mimetic). Diegetic, indirect reports of discourse are regarded as unreliable whilst mimetic, direct reports are trustworthy and accurate.

Transparency and opacity highlight clear and unclear references in indirect discourse. Conversion from direct to indirect discourse may diminish transparency and increase opacity, leading to some loss or ambiguity in meaning from the original direct discourse. But Austin's

(1955/1980) concept of illocutionary force from his speech act theory seems to identify the essential element that indirect discourse seeks to preserve from original direct utterances: the speech act that the speaker intended to perform through his/her utterance.

Deixis marks the spatial, temporal, personal and social position of a narrator or speaker and thus the point of view that their utterances or sentences are made from.

Demonstrative determiners or pronouns, deictic verbs and adverbs, tense and terms of address will shift between direct and indirect presentations of discourse as the voice of either a speaking character or the reporting narrator is used. The position from which deictic terms are referenced is the *deictic centre*.

The speech and thought presentation scales proposed by McHale (1978) and Leech and Short (1981) are composed of discourse presentation categories that run from diegetic forms (narrator reports of speech and thought and indirect discourse) to mimetic forms of discourse presentation (direct and free direct discourse). Leech and Short also observe that direct speech and indirect thought are the most frequently occurring forms of speech and thought presentation. This difference in norms is explained by the accessibility of speech which can be heard and quoted directly and the inaccessibility of thoughts which require narrator intervention in order to access a character's private mind.

Dual voice theory explains free indirect discourse as the combining of the voices of the narrator and character speaker. It has been defined by some as the retaining of the narrator's grammar with the expressive features of a character. But a wider definition has described it simply as the merging or juxtaposition of narrator and character voices.

Banfield (1982) and Fludernik (1993) propose anti-mimetic, single voice (as opposed to dual voice) models for discourse presentation. They argue that discourse presentation in fiction does not replicate an original discourse but rather invents discourse that is contextually-determined. The manipulation of expressivity in discourse presentations is

responsible for evoking subjectivity and creating the impression of a mimetic flavour of an original discourse. So according to anti-mimetic theory, all fictional discourse is created by the narrator and is thus diegetic.

In the next chapter, I focus on Leech and Short's (1981) speech and thought presentation scales and explain the changes that have been made to them since their inception. This particular model of speech and thought presentation will then be tested on comics in chapter 7 by applying its categories to the types of speech and thought presentation found in comics.

Chapter 6: Leech and Short's Speech and Thought Presentation Scales

6.1 Introduction

This chapter focuses on the speech and thought presentation scales proposed by Leech and Short. This is necessary before attempting to apply them to comics in chapter 7. This chapter will outline the scales and explore their development from their original to their latest forms. The 1981, Semino and Short's 2004 and Short's 2012 versions of Leech and Short's speech and thought presentation scales will be laid out. Section 6.2 will address the earlier versions of the scales from 1981 and 2004. Sections 6.3 to 6.9 will explain in more detail each of the categories from the 1981 and 2004 versions of the scales. Section 6.10 will lay out briefly the writing presentation scale that was included with the 2004 version of the scales. And the most recent 2012 version of the scales will be shown in the last section (6.11).

6.2 The scales

Leech and Short (1981) proposed categories for the presentation of character speech and thought in prose fiction in *Style in Fiction*. The categories related to the amount of narratorial interference in the reporting of the speech and thoughts of story characters (Leech & Short 2007: 255-281).

The categories originally given for speech presentation were:

Narrator's Representation of Action (NRA)
e.g. **It began to rain.**

Narrator's Representation of Speech (NRS)
e.g. **They were talking.**

Narrator's Representation of Speech Acts (NRSA)
e.g. **He told her about his imminent return.**

Indirect Speech (IS)
e.g. **He told her that he would definitely return the following day.**

Free Indirect Speech (FIS)
e.g. **He said he'd be back home tomorrow for sure.**

Direct Speech (DS)
e.g. **'I'll be back home tomorrow for sure,'** he said.

Free Direct Speech (FDS)
e.g. **I'll be back home tomorrow for sure.** He sounded certain.

The categories for thought presentation consisted of:

Narrator's Representation of Thought (NRT)
e.g. **She was deep in thought.**

Narrator's Representation of Thought Acts (NRTA)
e.g. **She went through the facts in her mind.**

Indirect Thought (IT)
e.g. **She decided to leave him alone for a while.**

Free Indirect Thought (FIT)
e.g. She decided not to disturb him. **He needed some time alone.**

Direct Thought (DT)
e.g. **'He needs some time alone,'** she thought.

Free Direct Thought (FDT)
e.g. She decided not to disturb him. **He needs some time alone.**

In Semino and Short's (2004) *Corpus Stylistics: Speech, Writing and Thought Presentation in a Corpus of English Writing*, Leech and Short's original scales of speech and thought presentation were altered in response to what Semino and Short found in a range of texts, including non-literary and non-fictional narrative modes (Semino & Short 2004: 9). Leech and Short's original (1981) speech and thought presentation scales focused on literary fictional texts only. The result of Semino and Short's analysis of texts was to include

categories that allowed the scales to be applied to a broader range of texts, non-literary and non-fictional as well as fictional texts, such as newspapers. The updated speech and thought presentation scales included the following categories:

Narration (N) – No speech presentation.
e.g. **He looked straight at her.**

Narrator's Representation of Voice (NV)
e.g. **The room was in an uproar.**

Narrator's Report of Speech Acts (NRSA)

Indirect Speech (IS)

Free Indirect Speech (FIS)

Direct Speech (DS)

Free Direct Speech (FDS)

Internal Narration (NI)
e.g. **She felt resentment.**

Narrative Report of Thought Acts (NRTA)

Indirect Thought (IT)

Free Indirect Thought (FIT)

Direct Thought (DT)

Free Direct Thought (FDT)

(Semino and Short 2004: 43-49)

In addition to the updated speech and thought presentation scales, a writing presentation scale was also proposed to account for reports of writing, which occur regularly in texts such as news reports and autobiographies. The writing presentation categories parallel those for speech and thought presentation:

Narrator's Representation of Writing (NW)

e.g. **He wrote this letter.**

Narrator's Representation of Writing Act (NRWA)

e.g. **I wrote about my holiday.**

Indirect Writing (IW)

e.g. The letter said **that my appointment had been arranged for April 5th.**

Free Indirect Writing (FIW)

e.g. Janet wrote to me. She said **she was really missing home and wanted to see all our faces again.**

Direct Writing (DW)

e.g. The letter said **'your appointment has been arranged for April 5th'.**

Free Direct Writing (FDW)

e.g. He read the sign aloud. **No trespassing.**

(Semino and Short 2004: 48-49)

The above speech and thought presentation categories will be explained in more detail below in the sections to follow (sections 6.3 to 6.9). There will also be a section on writing presentation after the sections focusing on the categories of speech and thought presentation (see section 6.10). But the writing presentation scale will not be addressed in as much detail as the speech and thought presentation scales as it does not have direct relevance and use for the scope of this thesis (which is focused on the analysis of speech and thought presentation and narration in comics).

It should be noted that Semino and Short have questioned whether the free direct categories of speech, thought and writing presentation (FDS/FDT/FDW) are distinct categories from direct speech, thought and writing (DS/DT/DW). Semino and Short (2004: 49) argue that because free direct speech, thought and writing do not claim any extra faithfulness from direct speech, thought and writing reports, they are perhaps best viewed as sub-types, or variants, of the direct categories. It is debatable of course to talk of accuracy and faithfulness in the report of speech and thought, since it is difficult and impractical to

transcribe speech and all its naturally-occurring features (such as pauses, repetitions, corrections, etc.) exactly and accurately in text, and the idea of actually reporting someone's private thoughts with any accuracy is of course fictional and realistically impossible. One can only imagine or guess the thoughts of another, but never know them with any certainty or accuracy. The realm of the mind is private and inaccessible in reality; a direct report of thought is possible only in a fictional setting. The presentation of speech in prose is considered to be a fictional representation or version of actual speech as well. For speech and thought then, there is never truly complete faithfulness and accuracy in reports. For writing though, highly faithful presentations of written texts are possible. Written words can be accurately reported and quoted. Because reports of writing are verifiable, there is an expectation or assumption that they are more likely to be accurate and true to their source. Verifiability is more difficult with reports of speech and is not possible at all with reports of thought.

Semino and Short (2004: 35-36) also do not include narrator's report of speech (NRS) or narrator's report of thought (NRT) in the updated speech and thought presentation scales because they explain that these are effectively parts of the narration which introduce speech or thought presentation categories, e.g. '**A Scotland Yard spokesman said** officers were investigating the matter.' The emboldened portion of text, the reporting clause, can be called NRS whilst the rest of the sentence is IS. In Semino and Short (2004), the function originally covered by NRS is covered by narrator's representation of voice (NV), and NRT is covered by internal narration (NI). NI is not the same as NRT though in that it delves internally into the mental states of a character, whereas NRT simply gives a limited report that a character is thinking. NI can include instances of NRT but is not nearly as restricted in its access to a character's mind, though it also does not go into any of the content of character thoughts. The NRS/NRT and NV/NI categories will be discussed in greater detail later.

Along with the speech and thought presentation categories, Leech and Short had argued that the norm for speech presentation was direct speech (DS) and the norm for thought presentation was indirect thought (IT) (Leech & Short 2007: 276). The reason for this difference in norms is that speech can be perceived directly by hearing whilst thoughts are inaccessible. We can believe that we have direct access to speech without the intervention of a narrator and can imagine hearing directly presented spoken words in fictional writing. Accessing the thoughts of a person is a phenomenon that occurs only in fiction and requires a narrator that readers believe to have access into a character's mind. The presentation of thoughts is possible only via the conventions of fictional writing, through the words of an omniscient narrator (Leech & Short 2007: 274). Hence IT, which presents the narrator's report of thought in his/her own words, is the category that seems most appropriate for thought presentation, given the nature of thought, as it highlights the intervening role of the narrator in presenting thoughts. Movement away from the DS norm toward free indirect speech (FIS) produces an effect of distancing the reader from the character(s) whose speech is being reported, often associated with irony. But with a movement to free indirect thought (FIT) from the IT norm, an opposite effect of putting the reader directly into the character's mind is created, bringing us closer to a character's thinking process (Leech & Short 2007: 276). FIS is a movement away from the DS norm toward narratorial intervention, whereas FIT is a movement away from the IT norm toward the mind of a character. Because people's thoughts are not directly accessible, an indirect narrator's representation of the content of a character's thoughts is more acceptable as a norm. Direct reports of thoughts are perceived as more artificial than indirect reports as they are explicitly presented, contrary to the private nature of thoughts (Leech & Short 2007: 276-277). Indirect forms of thought presentation preserve some of the inaccessibility of thoughts by not claiming to be faithful representations of them.

The degree of narrator interference in the report of speech and thoughts decreases going along the presentation scales from NRA to FDS/FDT. The narrator exerts the most interference over the report of speech and thought with the categories of NRS/NRT and NRSA/NRTA. IS/IT, FIS/FIT and DS/DT involve the narrator's partial control over the report of speech and thought, with the extent of narrator control over the report decreasing toward DS/DT. And the narrator apparently has no control over speech or thought report in the FDS/FDT categories (Leech & Short 2007: 260). This means that FDS/FDT are the most accurately quoted and verbatim reports of speech and thought possible, whilst NRS/NRT or NV/NI present none of the actual words or content of speech or thought as they are completely filtered out by the reporting narrator. In NRS/NRT or NV/NI, the narrator reports little more than simply that speech or thought occurred. And if NRS/NRT are used to refer to reporting clauses (e.g. 'I love you,' **he said**, **he decided** it would be best to forget the whole thing), then arguably these are not discourse presentation categories at all, but part of narration. NRSA/NRTA also filters speech and thought reports completely through the narrator, but the narrator will give basic information about the reported speech or thought, such as its type, purpose or topic. IS/IT and FIS/FIT report the main content of speech and thought through the words of the narrator; the free indirect forms will also convey some of the actual tone and flavour of the reported speech and thought. In DS/DT, the narrator claims to directly and accurately quote the actual words spoken or thought, usually within a reporting clause and quotation marks. The free direct forms of speech and thought (FDS/FDT) would lack the narrator's framing reporting clause and quotation marks, presenting speech and thought directly on their own without obvious reporting narration.

An issue that should be pointed out about Leech and Short's speech and thought presentation scales is the interchangeable use of the terms 'representation', 'presentation' and 'report'. There has been ambiguity in the use of these terms throughout the development of

the scales as they have all been used at one time or another to refer to the scales and their categories, for instance: narrator's representation of voice, narrator's report of speech acts, speech and thought presentation, etc. This has led to some confusion about the terms and a lack of clarity in their use. Short (2012) has addressed this issue by replacing 'representation' and 'report' in the names of the speech, thought and writing presentation categories with 'presentation', but these 'R' terms have been established and in use for several years now and are bound to continue being used (see section 6.11).

Each of Leech and Short's main speech and thought presentation categories will be discussed in more detail next.

6.3 Narrator's representation of action (NRA)/narration (N)

The NRA or N category encompasses sentences of physical description and action, where no speech or thought is presented. It includes actions by characters, events caused by inanimate agents, state descriptions and character perceptions (Short 1996: 296). Examples of NRA or N are:

[1] Tim jumped. (Action)

[2] It started to rain. (Event)

[3] Sally was soaking wet. (State)

[4] Carol saw Tim jumping into the pool. (Character perception)

NRA or N is completely controlled by the narrator and comes at the extreme authorial end of the speech and thought presentation scales, furthest away from the direct and free direct forms of speech and thought.

6.4 Narrator's representation of speech/thought (NRS/NRT) and narrator's representation of voice/internal narration (NV/NI)

In NRS/NRT, a reader is told merely that speech or thought has occurred, with no indication of what is said or thought (Short 1996: 297). An example of NRS would be: 'There were two people talking'; an example of NRT would be: 'Beth was deep in thought'. NRS and NRT occur often when a character's restricted viewpoint of others is narrated. Because of the limited information given on speech or thought in these categories, a highly distanced and outside perspective of speech or thought is presented. An observing character's distant physical point of view of others who are talking or their lack of access to another person's mind is highlighted in NRS/NRT categories.

The revised model of speech and thought presentation given by Semino and Short (2004) removes the NRS and NRT categories (explaining them to actually be instances of narration that report speech or thought in reporting clauses found often within indirect discourse, e.g. '**Beth thought** (NRT) it was a bad idea' (IT sentence)) and 'replaces' them with narrator's representation of voice (NV) and internal narration (NI). NV and NI are meant to encompass more instances of speech and thought presentation than NRS/NRT.

NV includes not only NRS-type minimal references to unspecified speech activity from particular characters, but also summary references to speech events that involve many participants, such as: 'an argument broke out between the debaters' (Semino & Short 2004: 43-45). Short (2012) makes a distinction between *proposition-domain summary*, which summarizes individual propositions such as: 'He promised to behave', and *discourse-domain summary*, which summarizes larger stretches of discourse such as: 'She told the officer what had happened' (2012: 18). These two discourse summary types are not restricted to the NV category though. I will not go into further detail about them here as discourse summary

reports are less common in comics than they are in prose texts and they are not categories of Leech and Short's (1981) speech and thought presentation scales (or any of the updates to the scales) which are the focus of this thesis (they are a further distinction from the scales between types of discourse summary reports and may belong to a speech or thought presentation category other than NV, such as NRSA or IS). Like NRS, NV is only a minimal representation of speech that does not provide the propositional content of the reported speech. It too creates the effect of narratorial distance in the report of speech.

NI categorises cases where a character's internal state of mind is reported with no direct representation of their thoughts. Examples of this are:

[5] Beth didn't know where she was.

[6] Casey was suddenly filled with panic.

Internal narration reports a character's cognitive and emotional experiences without presenting specific thoughts. It accounts for mental activity other than thought acts and includes minimal NRT. But it should be noted that NI does not include reports of characters' perceptions (such as: 'She felt pain in her chest') which are instances of narration/NRA (Semino & Short 2004: 45-47). NI is a unique category on the thought presentation scale because it classifies inner mental states rather than thoughts. It differs in effect from NRT as it provides deeper insight into the mind of a character, allowing a reader into that character's inner feelings and experiences. NRT provides only a minimal and limited report that a character is thinking, restricting reader access into a character's mind and revealing nothing about its state. Whereas NI brings us into the mind of a character, NRT keeps us outside of it. Whether NI is actually a category of thought presentation is debatable since it does not report specific thoughts, only internal experiences and mental states. But thought is a product of the mind and naturally tied to its states, so NI often accompanies and goes hand in hand with

thought presentation. Semino and Short (2004) included NI on the thought presentation scale, but Short (2012) removed it again as he no longer considered it a form of thought presentation but a part of narration (see section 6.11). I adopt Short's (2012) view that NI is not strictly a form of thought presentation and hence should not be a part of the thought presentation scale, as it is concerned with internal experiences and states of mind and does not actually present thought.

NRS/ NRT and NV/NI occupy positions between narration of actions, events, etc. and NRSA/NRTA on the speech and thought presentation scales. They are reports of speech and thought that are completely controlled by the narrator. NRS, NRT and NV are minimal and distanced in their reports of speech and thought, but NI, though it does not present specific thoughts, does provide access to the internal mental states experienced by characters.

6.5 Narrator's report of speech acts/thought acts (NRSA/NRTA)

NRSA and NRTA bring the reader a little closer to what is said or thought than NRS or NRT. The speech or thought act performed is reported, sometimes with an indication of the topic of talk or thought (Short 1996: 298). Examples are:

[7] She advised Sarah on how to handle her problem. (NRSA)

[8] Ron reminisced about his old school days. (NRTA)

NRSA and NRTA still do not convey entirely the sense or form of what is said or thought, but they give slightly more information about reported speech and thought than NRS, NRT, NV and NI. They give no exact details about reported speech or thought, merely reporting the kind or act of speech or thought that occurred. They are narrator-controlled, minimal accounts of speech and thought that are useful for summarising unimportant or insignificant

pieces of talk or thought, and are more indirect than IS and IT (Leech & Short 2007: 259-260).

NRSA and NRTA are the most minimal forms of speech and thought presentation, reporting limited detail of the speech or thought acts performed and sometimes their topics, but never going into their propositional content and actual words. N/NRA does not present any speech or thought at all. NRS/NRT and NV do not present any information about reported speech or thought (such as type or topic) save only that they occurred. And NI focuses on narration of internal mental states without presenting specific thoughts. So NRSA and NRTA are the first categories on Leech & Short's (1981) speech and thought presentation scales to begin presenting any information on reported speech and thought, though this minimal presentation of speech or thought acts is completely controlled by the narrator.

NRSAs and NRTAs are not always necessarily one-clause structures as in the examples above. They can be contained within longer sentences and embedded within other structures such as:

[9] Then an idea came to her mind that would solve all her problems. (Post-modified NRTA)

[10] They laughed and joked about the trouble they used to cause together. (NRA followed by NRSAp)

[11] She told June that she had finally asked Carl out. (NRS followed by IS containing NRSA)

Sentence [9] is an example of a longer, more detailed NRTA (*Then an idea came to her mind*) with a subordinate clause (*that would solve all her problems*). Sentence [10] consists of narration (N) or narrator's representation of action (NRA) (*They laughed*) followed by an instance of NRSA with topic (NRSAp) (*and joked about the trouble they used to cause together*). In sentence [11], NRS (*She told June*) introduces an instance of IS that is made up

of a NRSA (*that she had finally asked Carl out*). NRSA/NRTA thus can occur in more complex sentences and detailed forms, not just as simple, one-clause structures.

6.6 Indirect speech/thought (IS/IT)

IS/IT can be best demonstrated by contrasting with DS/DT forms:

[12] ‘Will you stop complaining!’ Kim yelled at Dave. (DS)

[13] Kim yelled at Dave to stop complaining. (IS)

[14] ‘It’s hopeless,’ Tess thought glumly. (DT)

[15] Tess glumly thought that it was hopeless. (IT)

It can be seen from these examples that some changes occur when converting DS/DT into IS/IT:

1. The inverted comma quotation marks around the reported speech or thought are removed. This makes the reported speech or thought, which are marked off as syntactically independent of the reporting verbs (*yelled* and *thought*) in DS/DT, dependent on the reporting verbs in IS/IT.
2. The dependence of the reported clause (*that it was hopeless*) on the reporting clause (*Tess glumly thought*) is marked by the subordinating conjunction *that* in the IT example [15] (though this subordinating conjunction is not required to identify the dependence of the reported clause on the reporting clause); in the IS example, it is marked by the subordinating conjunction *to*. The grammatical semi-independence of the reported and reporting clauses in DS/DT becomes subordination of the reported clause to the reporting clause in IS/IT.

3. First and second person pronouns in DS/DT change to third person in IS/IT. Second person *you* from the DS example [12] is dropped in the IS example [13].
4. Tense is backshifted to be consistent with the tense of the reporting clause. Present tense *it's* in the DT example [14] is changed to past tense *it was* in the IT example [15] to match the past tense of the reporting verb *thought*. The *stop complaining* imperative in the DS example [12] can be inserted without change into the past tense of the reporting clause in the IS example [13].
5. The reporting clause commonly comes after the reported clause in DS/DT. In IS/IT, it typically comes before.
6. It is not shown in the above examples, but proximal or 'close' deictic determiners or pronouns, verbs and adverbs (such as *this*, *come* and *here*) in DS/DT are changed to remote distal deictic or neutral expressions (such as *that*, *go*, *there* and neutral *the object* instead of proximal *this object*) in IS/IT. So a DS sentence like: '*Clean up this mess, you lot!*' *she ordered* could be converted to an IS form of: *She ordered them to clean up the mess*, where the close deictic expression *this mess* is neutralised to *the mess*. Things that are indicated to be near in the reported speech or thought of DS/DT become further away in IS/IT.

The above changes integrate reported speech or thought into the text of reporting narration by subordinating reported speech or thought clauses to the reporting clauses (Short 1996: 304-305) and (Leech & Short 2007: 255-256). This conversion of DS/DT to IS/IT brings narrator interference into the report of speech and thought.

In IS/IT, the narrator has control of the report of speech or thought, whereas in DS/DT, the actual form and words spoken or thought is claimed to be reported. IS/IT reports speech or thought through the words of the narrator instead of quoting verbatim. This means

that IS/IT is integrated within a narrative text, rather than being apart from it like DS/DT are. Where DS/DT claims to both faithfully report what was said or thought and the exact form of words which were used in the speech or thought, IS/IT only claims to report what was said or thought, but not necessarily the exact way in which it was said or thought. IS/IT only claims to report the propositional content of speech or thought, not the actual form of them. A specific sentence in DS/DT could thus potentially be expressed in more than one IS/IT version, for example, alternative IS and IT reports could be proposed for DS and IS examples [12] and [13] and DT and IT examples [14] and [15]:

[16] Kim yelled at Dave to *quit* complaining. (IS)

[17] Tess glumly thought that *there was no hope for her*. (IT)

The italicised words substitute words from IS example [13] and IT example [15]. They are semantically equivalent to them and do not change their essential meanings:

[13] Kim yelled at Dave *to stop* complaining. (IS)

[16] Kim yelled at Dave to *quit* complaining. (IS)

[15] Tess glumly thought that *it was hopeless*. (IT)

[17] Tess glumly thought that *there was no hope for her*. (IT)

Also, original DS/DT dialogue cannot automatically be retrieved from IS/IT forms which may be derived from them. We cannot necessarily work out DS sentence [12]:

[12] ‘Will you stop complaining!’ Kim yelled at Dave. (DS)

from either of the IS sentences:

[13] Kim yelled at Dave to stop complaining. (IS)

[16] Kim yelled at Dave to quit complaining. (IS)

And neither could we know for sure that DT sentence [14]:

[14] 'It's hopeless,' Tess thought glumly. (DT)

was the source of the IT forms:

[15] Tess glumly thought that it was hopeless. (IT)

[17] Tess glumly thought that there was no hope for her. (IT)

IS/IT therefore cannot simply be considered syntactic variations of DS/DT. Though they hold the same propositional claims as their DS/DT sources, they are a different form of report from them. IS/IT can use different words and forms from their original DS/DT forms without changing their equivalent content from them (Leech & Short 2007: 256-257).

The above examples of IS/IT ([13], [15], [16], [17]) have all been in third person and past tense narration. In first person and present tense narration, third person pronouns (such as 'he', 'she', 'it' and names) and verbs in past tense are no longer available to mark IS/IT. In present tense narration, the present tense would be appropriate to both DS/DT and to narration. And in first person narration, the first person pronoun 'I' would apply to both the narrator and the speaking character, unless the I-narrator was reporting someone else's speech or thoughts (Short 1996: 309-310). Hence IS/IT may become harder to distinguish from DS/DT in first person and present tense narration.

For thought presentation, IT is the norm, unlike DS for speech presentation (see section 6.2). Because thoughts are inaccessible to our direct perception, unlike speech which can be heard, an indirect form of presenting thought is more plausible than a direct form. Even the verbal presentation of thought is a fictional idea since we do not generally think in the same way as we speak with words. The intervention of a narrator in IT at least

acknowledges the interpretative nature of thought presentation and some degree of the inaccessibility of thoughts, and it is less artificial than an explicit direct presentation of thought. The thought presentation norm is thus positioned on the indirect narratorial end of the thought presentation scale whilst the speech presentation norm is on the direct character end of the speech presentation scale (Leech & Short 2007: 276).

Whereas IS seems to noticeably distance the reader from speech compared to DS, IT is a more accepted form of thought presentation than DT. The narratorial control of the report of speech and thought in IS and IT restricts the reader's access to the actual words of the reported speech or thought. In IS, this creates the effect of distancing and limiting the reader from the speech being reported. In IT, the effect of narratorial distancing becomes a more believable, feasible and natural presentation of thought. IS is suitable for reporting speech events from a past time, summarising exchanges and long pieces of talk and reporting the speech of others through a recipient's or observer's words. IT becomes more frequently used than IS as it is the norm for thought presentation.

Both IS and IT can emphasise particular character as well as narrator viewpoints. Take examples of IS and IT like:

[18] She *snapped* at him that she was *fed up*. (IS)

[19] She *informed* him that she was *at her emotional limit*. (IS)

[20] He wondered if the stranger *could be trusted*. (IT)

[21] He wondered if the stranger *was trustworthy*. (IT)

Here we can see how differences in choice of reporting verbs and words for reported speech or thought can affect our perception of the reported speech or thought. The reporting verbs *snapped* [18] and *informed* [19] encode different values, the former conveying angered speech whilst the latter is more semantically neutral and formal in tone. Combined with the

reported phrases *fed up* [18] and *at her emotional limit* [19], these reporting verbs create different impressions of the IS sentences. IS sentence [18] using *snapped* could be seen as coming from the viewpoint of the angered character whilst IS sentence [19] using *informed* could be presenting the viewpoint of the narrator or a character that is emotionally-removed and physically distant from the reported speech event. In the IT sentences [20] and [21], the differences in the words of the reported thought also could indicate different viewpoints. IT sentence [20] using *could be trusted* could be interpreted as coming from the point of view of the wondering character, as its casual and simple wording is more likely to be closer to what a character may believably be thinking. IT sentence [21] using *was trustworthy* could be from the narrator's or another character's point of view, as *trustworthy* is a more formal and impersonal term than *trusted*. IS/IT thus can reflect the points of view of not only the narrator, but other characters too, whether they be the characters that are speaking or thinking or removed observing characters.

6.7 Free indirect speech/thought (FIS/FIT)

The free forms of IS and IT mixes features of both DS/DT and IS/IT. Typically, FIS/FIT possess the grammatical characteristics of IS/IT, but some of the 'flavour' and deictic properties of DS/DT (Short 1996: 306). Unlike IS/IT, the reporting clause is often omitted in FIS/FIT, but the tense and pronouns used remain those of IS/IT (Leech & Short 2007: 260-261). If we compare examples of FIS/FIT with corresponding IS/IT and DS/DT sentences, we can see how the free indirect forms combines both direct and indirect features:

[22] 'I'll be waiting here for you tomorrow, Tracy,' he said. (DS)

[23] He said he'd be waiting there for Tracy the next day. (IS)

[24] He said *he'd be waiting here* for Tracy *tomorrow*. (FIS)

[25] 'Leave me alone!' he cried at them. (DS)

[26] He cried at them to leave him alone. (IS)

[27] He cried at them to leave *him* alone! (FIS)

[28] 'I am in so much trouble,' Frank thought, 'Mum and dad are gonna kill me.' (DT)

[29] Frank thought he was in a lot of trouble. He feared his parents were going to be extremely angry. (IT)

[30] *Frank was in so much trouble. Mum and dad were gonna kill him.* (FIT)

FIS and FIT sentences [24], [27] and [30] retain the past tense (*he'd be, was, were*) and third person pronouns (*he, Frank, him*) of the IS and IT sentences, but they possess the near deictics (*here, tomorrow*), exclamatory form (use of exclamation mark !) and informal lexis (*in so much trouble, mum and dad, gonna kill him*) of DS and DT sentences [22], [25] and [28]. The omission of reporting clauses in FIT sentences [30] means that the reported clauses are not subordinated as in indirect forms, and thus they become main clauses resembling direct forms more. FIT sentences [30] are hence able to be more reminiscent in syntactic form to the original DT [28] reported clauses than the IT form [29] which has reporting clauses at the beginning of its sentences (*Frank thought, he feared*). These examples ([22] to [30]) show how FIS/FIT comes between IS/IT and DS/DT. FIS/FIT are not true reproductions of DS/DT, but at the same time, they convey more sense of the original speech or thought than IS/IT (Leech & Short 2007: 261).

The FIS/FIT categories possess elements of two voices, that of the narrator and that of the speaking/thinking character. This combination of voices brings together the positions and points of view of the narrator and the speaking/thinking character. In FIS, this creates an effect of 'distancing with original flavour' which is often used for irony (Short 1996: 308). On the speech presentation scale, FIS is a move away from the DS norm towards narrator

control, indicating narratorial interference in the representation of character speech (Short 1996: 307). This is what creates the distancing effect of FIS, though not as distant as IS. But in FIT, an opposite effect of being brought closer to a character occurs. FIT seems to bring the reader inside the head of a thinking character, making us sympathise with their viewpoint. This opposite effect of closeness in FIT compared to the distancing of FIS is due to the different thought presentation norm of IT (as opposed to the speech presentation norm of DS). FIT is a movement away from the narrator-controlled IT norm towards the character end of the thought presentation scale, bringing us closer toward the thoughts of the character (whereas FIS takes us in the opposite direction on the speech presentation scale, away from the DS speech presentation norm toward the narrator end of the scale, creating narratorial distancing). The ambiguity of the combined narrator and character voices in FIT also contributes to the sympathetic, close-up feel of FIT. Because of the shared positions of the narrator and character in FIT, the reader sympathizes with the character's position and viewpoint as well as the narrator's (Short 1996: 315-316).

We should bear in mind though that FIS does not always necessarily have to convey an effect of indirect distancing and FIT, not always closeness to the mind of a character. If FIS appears in the context of more indirect forms of speech presentation, then it may have an effect of relative directness and seem closer to the original speech. And if FIT appears in a context of more direct forms of thought presentation, it may have an effect of indirectness and seem more distanced from the character's actual direct thoughts. Various effects can be created in the free indirect forms of speech and thought by contrasting them in different ways with alternative speech and thought presentation forms (Leech & Short 2007: 270).

6.8 Direct speech/thought (DS/DT)

Whereas NRSA and NRTA come from the minimalist narrator-controlled end of the speech and thought presentation scales where little of the actual words of speech or thought are reported, DS and DT come from the other end of the scales where there is no narrator interference in the presentation of speech or thought. This means DS and DT are meant to be accurate and true representations of character speech or thought, quoting the actual words spoken or thought and so allowing characters to speak or think directly for themselves without being filtered through the narrator (Short 1996: 298-299). DS and DT claims to report faithfully what is stated or thought and the exact form of words which were used in the speech or thought reported (Leech & Short 2007: 257).

[31] 'It's coming right for us!' Bill shouted. (DS)

[32] 'I know I put it around here somewhere,' Fred thought. (DT)

From the above DS and DT examples [31] and [32], it can be seen how the reporting narrator is claiming to be faithfully producing the syntactic and lexical structure of the original speaker or thinker's utterance or thought in the reported clauses (within quotation marks). The use of an exclamation mark in DS example [31] also represents the urgent voice tone with which the utterance is said. An even more accurate direct reproduction of the reported speech and thought in DS and DT sentences [31] and [32] could be made by representing the pronunciation of the original speech or thought as well (Leech & Short 2007: 257):

[33] 'It's comin' righ' for us!' Bill shouted. (DS)

[34] 'Ah know ah put it around 'ere somewhere,' Fred thought. (DT)

All linguistic features in the reported clauses of DS and DT must be related to the speaker or thinker's viewpoint. These could include:

1. Tense: Present tense applies to DS/DT examples [31] to [34] with the use of *it's* and *know*.
2. Pronouns: First person pronouns *us* refers to the speaker and others in DS examples [31] and [33] and *I* in DT example [32] (*ah* in DT example [34]) refers to the thinker. The third person pronoun *it* refers to an object that is coming towards the speaker in DS examples [31] and [33] and an object of search in DT examples [32] and [34].
3. Deictic markers other than tense and pronouns: Deictic verb *coming* in DS example [31] (*comin'* in DS example [33]) which indicates movement toward the speaker and proximal deictic adverb *here* in DT example [32] (*'ere* in DT example [34]) which indicates the immediate area around the thinker.
4. Speech/thought act indicators: The exclamation mark *!* in DS examples [31] and [33] indicates the speech to be an urgent warning. Interrogative grammar and question marks could also be speech/thought act indicators.
5. Indications of voice quality and other phonetic aspects: The exclamation mark in DS examples [31] and [33] also indicates a louder and more urgent tone of voice than normal.
6. Colloquial lexis: 'As a matter of fact, I do mind.' and 'What a load of rubbish!' are more informal than 'Actually, I do not like that.' and 'That's absurd!' or 'What nonsense!'. The colloquial phrase 'As a matter of fact' (meaning 'in fact') and words 'mind' (used as a verb to indicate taking issue with or objecting to something rather than as a noun referring to our consciousness) and 'rubbish' (used to mean 'nonsense')

rather than 'litter' or 'trash') are more reminiscent of common, casual everyday language and are characteristic features of a character's dialogue.

(Short 1996: 299-300)

Whereas DS (and its freer forms) creates the impression of a character speaking in our presence to address some recipient, DT (and its freer forms) comes across like a monologue with no obvious receiver where the thinking character is 'talking' to him/herself. DTs thus acquire a conscious feel to them (Leech & Short 2007: 274-275). The minimal narrator intervention in DS and DT produces different effects from one another. In DS, faithful presentation of speech creates effects of proximity and immediacy and brings the character and his/her situation into the reader's active present by accurately recreating his/her utterances. This is why DS is the norm for speech presentation. In DT, the verbal presentation of thoughts seems more artificial than IT forms. Because the norm for thought presentation is IT, DT can seem less plausible than indirect, narrator-controlled forms of thought presentation, and so DTs can seem deliberate and controlled by the thinker.

DT is often presented without quotation marks to distinguish it clearly from DS. This may be seen in texts that create an internal/external world distinction by contrasting DS and DT (Short 1996: 313):

[35] 'We'll make it through this,' I assured her. I haven't a clue how though, I thought dismally.

The first sentence of example [35] is DS and the second is DT. Even without quotation marks, the DT is identifiable from the first person pronoun (*I*), colloquial lexis (*haven't a clue*) and reporting clause (*I thought dismally*). The second sentence of DT contrasts against the first sentence of DS, creating a seemingly optimistic and hopeful external character that comes out in speech, but a pessimistic and less hopeful internal attitude behind the optimistic

external mask. Here DS is used to create a fake positive exterior face whilst DT presents the true interior negative outlook of the I-narrator. This contrast of DS/DT is useful for portraying internal/external conflicts and contrasts in fictional characters.

6.9 Free direct speech/thought (FDS/FDT)

Semino and Short (2004) argue that FDS and FDT may not be distinct categories from DS and DT, but merely subtypes of them:

[...]the DS/FDS distinction may not be a proper category distinction, but merely a finer distinction within the DS category. The main argument for this is that, unlike the other categories, there is no extra faithfulness claim involved as one moves from DS to FDS. [...] With thought presentation, it is debatable whether one can sensibly talk about faithfulness claims at all, but the distinction between FDT and DT is equally problematic. [...]the free direct categories are best seen as a subtype, or a variant, of the respective direct categories.

(Semino and Short 2004: 49)

FDS and FDT are freer forms of DS and DT, still purporting to report the same direct content as them but without some of their reporting markers. Leech and Short (2007: 258) say of FDS: "[...]where the characters apparently speak to us more immediately without the narrator as an intermediary". At the extreme character end of the speech and thought presentation scales, the free forms of DS and DT possess the least amount of narrator intervention of all the speech and thought presentation categories.

DS is typically presented in quotation marks and with reporting clauses. These come from the reporting narrator. FDS is produced when either the reporting clause or the quotation marks or both are removed. In these instances, the narrator becomes even less visibly present in the report of speech (Short 1996: 300). Three forms of FDS thus are:

[36] I'll be back for you, he said. (Absence of quotation marks.)

[37] 'I'll be back for you.' (Absence of reporting clause.)

[38] I'll be back for you. (No reporting clause or quotation marks.)

Examples [37] (lacking reporting clause) and [38] (lacking reporting clause and quotation marks) could be used to present the quick to-and-fro nature of conversations. Lines of speech without reporting clauses could follow one after another to convey the immediacy and speed of a conversation between two or more characters. But without reporting clauses, lines of dialogue can become confusing as readers may lose track of, or not know, who is saying what (Leech & Short 2007: 258-259):

[39] 'Looks like it was a murder.'
'But who would want to kill him?'
'And more importantly, why?'
'Maybe it was robbery?'
'Or maybe he had enemies.'

If FDS is presented without quotation marks, it can become harder to distinguish speech from narrative and they may seem inseparable (Leech & Short 2007: 259):

[40] Dave looked down at him. (N) Why didn't you tell him? he asked. (FDS – no quotation marks) Why didn't you do something about it? (FDS – no quotation marks or reporting clause) Eliot did not answer. (N) He just dropped his head. (N)

FDS can produce ambiguity in who is speaking, create the impression of immediacy and quickness in speech and can be used to blend DS into narration. It can challenge the distinctions between what is done (narration of actions), said (presentation of speech) and thought (presentation of thoughts), as its forms become hard to easily distinguish from sentences of narration and thought presentation at times because of their deviation from the typical form of DS (with a reporting clause and quotation marks) (Short 1996: 304).

FDT removes the quotation marks and/or reporting clause in a DT presentation as well. Like DT, FDT comes across often like a monologue where the thinking character is talking to him/herself and is conscious of his/her own thoughts. The artificial and deliberate effects produced by DT and FDT presentations are due to the implausibility of verbally-formed thoughts and the inaccessibility of the mind. DT and FDT thus create the effect of a character having his/her conscious thought put into words that can be read (Leech & Short 2007: 274-275). The example of FDT below show two forms it can take:

[41] Does she know? he wondered. (FDT without quotation marks) Does she know about that day? (FDT without quotation marks and reporting clause)

As mentioned in the previous section (6.8), DT is often presented without quotation marks. This could be counted as a form of FDT.

FDS and FDT could be difficult to categorise and distinguish from one another if they are both presented in the same form without reporting clauses and quotation marks:

[42] Can you just leave me alone for one moment? Don't you realise how annoying you are?

The lack of reporting clauses and quotation marks means there is no way to be certain whether the sentences of example [42] are both meant to be FDS or FDT, or whether one is FDS and the other is FDT. The only way to get more clues to the speech or thought presentation categories of the above sentences is to look at the narrative context they may appear in:

[43] She couldn't take it anymore. She had to tell him to back off. She turned to face him.
Can you just leave me alone for one moment? He stopped and stared at her. Her mind was screaming at him. Don't you realise how annoying you are? She wanted to say that.

From the narrative passage of example [43], it seems that the first sentence of example [42] is a case of FDS whilst the second sentence is a case of FDT. The preceding FIT sentence: *She*

had to tell him to back off strongly suggests that: *Can you just leave me alone for one moment?* is an instance of FDS. The final sentence of internal narration: *She wanted to say that* only makes sense if the sentence before it: *Don't you realise how annoying you are?* is an instance of FDT.

I have now covered all the categories of Leech and Short's (1981) and Semino and Short's (2004) versions of the speech and thought presentation scales. Next, I will address the writing presentation scale from Semino and Short (2004) which categorizes presentations of writing in the same way that the speech and thought presentation scales categorize presentations of speech and thought.

6.10 The writing presentation scale

Instances of writing presentation in my comic data are few, which is why presentation of writing is not an issue of focus for this thesis. This thesis is concerned with the narration and speech and thought presentation of comics. But it is worth mentioning writing presentation here briefly as it is a part of the updated discourse presentation scales in Semino and Short (2004). A few instances in my comic data needed the writing presentation scale for adequate description as well, so more comic data might mean this scale would be used more. Writing presentation also occurs in comics, though it is not as common as speech and thought presentations. There are cases of narration in comics that take the form of direct writing presentations, for example, diary or journal extracts, letters, notes, computer files and reports by characters within a story.

In Semino and Short (2004), a presentation scale for writing is added to the speech and thought presentation scales. The categories of the writing presentation scale are parallel to the categories of the speech and thought presentation scales:

[N]	NV	NRSA	IS	FIS	DS	(FDS)
[N]	NW	NRWA	IW	FIW	DW	(FDW)
[N]	NI	NRTA	IT	FIT	DT	(FDT)

The speech, writing and thought presentation scales.
(Semino and Short 2004: 49)

Like narrator's representation of voice (NV) and internal narration (NI) in the speech and thought presentation scales, the highest amount of narrator control in discourse report and the most minimal representation of discourse content and information occurs in the narrator's representation of writing (NW) category. The least amount of narrator 'interference' in the report of discourse and the most faithful representation of it occurs in the direct and free direct presentations of speech, thought and writing ((F)DS, (F)DT and (F)DW).

Narrator's representation of writing (NW) is the most minimal reference to writing as NV is for speech presentation and NI is for thought presentation. In NV and NW, the narrator does little more than simply report that speech or writing occurred and NI does not report thoughts, only internal mental states of characters. The NV and NW categories give no indication of the illocutionary force or of the propositional content of the reported utterance or text, and in the case of NI, there is no report of any specific thoughts, only cognitive or emotional states or processes. NW may also include reference to a text with minimal reference to topic, but there is no detail given on the content of the writing or its linguistic form. NWs can present either individual instances or several writing events, or the writing of a group of people (McIntyre et al. 2004: 62). Examples of NW would be:

[44] Trish wrote a letter to Paul.

[45] Thirteen out of twenty people filled in the questionnaire.

Narrator's representation of writing act (NRWA), akin to narrator's representation/report of speech acts (NRSA) and narrator's representation/report of thought

acts (NRTA), presents the illocutionary force of a text (or utterance for NRSA or thought for NRTA) with an indication of the topic, but does not present the propositional content or the original wording of that content (McIntyre et al. 2004: 61). An act of writing and what it is about are presented without going into its details. Examples of NRWA would be:

[46] I voted Conservative.

[47] She applied for a loan.

[48] He took the entrance exam.

Indirect writing (IW), like its speech (IS) and thought (IT) counterparts, consists of a reported clause grammatically subordinated to a reporting clause (which is an instance of a minor discourse category of narrator's report of speech (NRS), thought (NRT) or writing (NRW), e.g. 'she said' (NRS), 'I wondered' (NRT) and 'he wrote' (NRW)). Deictic features relate to the position of the narrator reporting the discourse, so past tense would be maintained in indirect discourse presentation if the rest of the surrounding narration or the discourse presenting situation is in past tense. Typically, the propositional content of the original speech, thought or writing act is given, but it is not claimed to be presented in its original wording and structures, instead being told in the words of the reporting narrator (McIntyre et al. 2004: 60-61). Examples of IW would be:

[49] He left a note saying (NRW) **that he'd be gone for a couple of hours** (IW).

[50] The scriptures foretell (NRW) **the coming of a saviour** (IW).

[51] According to my horoscope in the paper (NRW), **something unexpected is going to happen this week** (IW).

Free indirect writing (FIW), like free indirect speech (FIS) and thought (FIT), is characterised by a mixture of deictic, syntactic and lexical features relating to both the producer of discourse (the character that speaks, writes or thinks) and the narrator that is

reporting the discourse. Typically, free indirect discourse is realised by an independent clause, but accompanying reporting clauses (NRS, NRT, NRW) are possible too (McIntyre et al. 2004: 60). Often with free indirect discourse, the grammar of the reporting narrator is preserved and combined with some of the lexical 'flavour' of the character speaker/writer/thinker's original discourse, perhaps using some of the character discourse producer's actual words. Examples of FIW would be:

[52] Sarah sounded homesick in her letter. She said (NRW) **she missed a lot of things, mum's home-cooking most of all** (FIW).

[53] Dillon asked me in the card (NRW) **if he could visit me sometime** (FIW).

Direct writing (DW), like direct speech (DS) and thought (DT), is the most faithful presentation of discourse. The direct categories consist of independent clauses or phrases that convey the illocutionary force of speech or writing acts, their propositional content, and include the deictic features of the discourse event being presented. They can be marked by quotation marks and accompanied by reporting clauses (NRS, NRW, NRT). Direct discourse usually claims to present the actual wording of the reported discourse. Although DT is formally similar to DS and DW, illocutionary force and 'actual words' do not apply sensibly to DT as they do to DS and DW, for thoughts are private to the thinker and any presentation of them can only ever be considered hypothetical and fictional (McIntyre et al. 2004: 59).

Examples of DW would be:

[54] He said in the email, (NRW) **'I'll be in Leeds over the weekend'** (DW).

[55] Janice said (NRW) that she had **"something special"** for us in her letter (DW embedded within IW).

The free direct categories of writing (FDW), speech (FDS) and thought (FDT) are arguably forms of DW, DS and DT rather than separate discourse categories on their own

(Semino and Short 2004: 49). They are the same as DW, DS and DT, except without accompanying reporting clauses, standing on their own as independent sentences or clauses (McIntyre et al. 2004: 60). The free direct discourse categories are the most unmediated form of discourse presentation, using no words from the reporting narrator, not even for reporting clauses. Examples of FDW would be:

[56] What's that sticker on the back of the car say? **Baby on board** (FDW).

[57] **I'm giving up on smoking for the New Year** (FDW). That's what he wrote in the letter.

The writing presentation scale is very like the speech presentation scale in relation to the effects associated with particular categories. This is primarily because in both cases the original is (or purports to be) a piece of discourse, even though the medium is different.

(Semino and Short 2004: 50)

The claims of faithfulness associated with the speech presentation categories become stronger for the writing presentation categories. DW is expected to be a more accurate reproduction of a text than DS is of an utterance. DW can quote writing exactly as it appears in its original form on paper or screen, whilst DS often presents an idealized fictional version of an utterance which quotes the utterance's original wording without its natural features of speech such as false starts, pauses, corrections and repetitions, and which is unable to directly recreate the tone and manner with which the utterance was spoken.

[...]although speech presentation is the default discourse presentation activity (for example speech verbs can be used in writing report clauses, but not vice versa [...]), our canonical assumptions about speech report/presentation/representation almost certainly derive from writing.

(Semino and Short 2004: 50)

Because writing presentations can theoretically be verified against the original text, accuracy in them is paramount. Speech is our main medium of communication, hence why it is the default discourse, but unlike writing, it is not a permanent form or record of information (it is

temporary to a speech event/spoken discourse situation). Spoken discourse can be transcribed and recorded in written form, but exact replications of discourse are not so much expected in speech due to its ephemeral and often informal, casual nature. These reasons could explain why claims of faithfulness apply more strongly to writing presentations than to speech presentations.

6.11 The scales recently

In the article 'Discourse presentation and speech (and writing, but not thought) summary' (Short 2012), Short updates the discourse presentation scales again. The scales are laid out in the following manner:

Speech and writing presentation

[N]	[NPS]	NPV	NPSA	IS	FIS	DS
[N]	[NPW]	NPW	NPWA	IW	FIW	DW
						<i>Norm?</i>

Thought presentation

[N+IN]	[NPT]	NPT	NPTA	IT	FIT	DT	FDT
			<i>Norm?</i>				

(Short 2012: 23)

The above acronyms represent:

Narration (N)

Internal narration (IN)

Narrator's presentation of speech/voice/writing/thought (NPS/NPV/NPW/NPT)

Narrator's presentation of speech act/writing act/thought act (NPSA/NPWA/NPTA)

Indirect speech/writing/thought (IS/IW/IT)

Free indirect speech/writing/thought (FIS/FIW/FIT)

Direct speech/writing/thought (DS/DW/DT)

Free direct thought (FDT)

In the table above, IS/IW/IT, FIS/FIW/FIT and DS/DW/DT remain unchanged in name and positioning from previous versions of the discourse presentation scales, but the minimalist reporting categories NRS/NV/NW/NRT and NRSA/NRWA/NRTA have been changed to NPS/NPV/NPW/NPT and NPSA/NPWA/NPTA. NRS has become NPS, NV has become NPV, NW has become NPW, NRT has become NPT, NRSA has become NPSA, NRWA has become NPWA, and NRTA has become NPTA. The definitions for each of the categories remains the same as before, only the names and acronyms of some have been slightly altered. Short noted in his 2012 article that the acronym 'R' in NRS/NRT and NRSA/NRWA/NRTA has been used to stand for both 'representation' and 'report' and has been confused with 'presentation'. He now substitutes 'representation' (R) with 'presentation' (P) in the names of the categories. The former narrator's representation of voice (NV) is now narrator's presentation of voice (NPV) and it includes instances of NPS (as NV encompassed NRS). NPS remains a minor category in the most recent speech presentation scale as NRS was in Semino and Short's (2004) version of the speech presentation scale (NRS, hence NPS, was explained to apply to the reporting clauses of DS presentations and thus cannot be considered a speech presentation category in its own right). NPV replaces NPS as the most minimalist speech presentation category as it includes a wider range of speech presentation; it can be any basic presentation of voice(s). Internal narration, formerly represented with the acronym NI, is now IN and is no longer considered a form of thought presentation, hence it is no longer included in the main categories of the thought presentation scale. It has been included with narration (N) now because it does not present thought (IN covers the narrator's descriptions of internal cognitive states which are not thought presentation, e.g. 'He was boiling with

rage.'). NPT is now the most minimalist thought presentation category, taking the former place of internal narration on Semino and Short's 2004 thought presentation scale. The free direct categories for speech and writing (FDS and FDW) have been omitted from the scales as Short includes them under DS and DW (they are forms of DS and DW). Though FDT remains on the thought presentation scale, Short states that whether there should be a distinction between DT and FDT needs consideration, as the notion of faithfulness is difficult in regards to thought presentation and there could be a difference in effect between DT and FDT. In his 2013 conference paper, Short creates new alternative acronyms for FDS and FDT: DSf and DTf. DSf and DTf better present FDS and FDT as sub-forms of DS and DT. DS and DT are placed at the beginning of the new acronyms, identifying them firstly as DS and DT. Then the former capital 'F' standing for 'free' becomes subordinate to DS and DT by being reduced to a small case 'f' and moved after them in the acronyms. These changes foreground FDS and FDT as DS and DT first and foremost and indicate them to be forms or sub-types of DS and DT rather than separate categories of their own. In the next chapter, where I apply Leech and Short's speech and thought presentation categories to comics, I use Short's (2012) acronyms for the speech and thought presentation categories (NPS to DS and NPT to FDT). I also include FDS along with FDT and treat these as separate categories rather than subcategories of DS and DT. The reason for this is to account for freer forms of DS and DT that I have observed in comics which I feel warrant categories of their own.

6.12 Summary

This chapter has focused on the speech and thought presentation model that is to be used in the next chapter (7) in application to comics: Leech and Short's speech and thought

presentation scales. The scales have undergone several changes since their inception.

Initially, the scales proposed the following categories of speech and thought presentation:

Narrator's Representation of Action (NRA)

Narrator's Representation of Speech (NRS)

Narrator's Representation of Speech Acts (NRSA)

Indirect Speech (IS)

Free Indirect Speech (FIS)

Direct Speech (DS)

Free Direct Speech (FDS)

Narrator's Representation of Thought (NRT)

Narrator's Representation of Thought Acts (NRTA)

Indirect Thought (IT)

Free Indirect Thought (FIT)

Direct Thought (DT)

Free Direct Thought (FDT)

In addition to these categories of speech and thought presentation, Leech and Short also proposed DS as the speech presentation norm and IT as the thought presentation norm as these categories occurred most frequently in prose fiction texts. Because speech can be heard directly, DS is accepted as the norm for speech presentation as it claims to present speech faithfully, reporting utterances as we would supposedly hear them in their original forms. Thoughts are inaccessible though and require the intervention of a narrator who has access to the private realm of the mind in order to report them in prose texts. Hence IT becomes the norm for thought presentation as it presents thought through the mediation of a narrator.

In Semino and Short (2004), Leech and Short's (1981) scales of speech and thought presentation are updated with new categories:

Narration (N) – No speech presentation.

Narrator's Representation of Voice (NV)

Narrator's Report of Speech Acts (NRSA)

Indirect Speech (IS)

Free Indirect Speech (FIS)

Direct Speech (DS)

Free Direct Speech (FDS)

Internal Narration (NI)

Narrative Report of Thought Acts (NRTA)

Indirect Thought (IT)

Free Indirect Thought (FIT)

Direct Thought (DT)

Free Direct Thought (FDT)

Semino and Short (2004) also introduced a writing presentation scale:

Narrator's Representation of Writing (NW)

Narrator's Representation of Writing Act (NRWA)

Indirect Writing (IW)

Free Indirect Writing (FIW)

Direct Writing (DW)

Free Direct Writing (FDW)

Short (2012) updates the scales once again, addressing the issue of the use of the words 'report' and 'representation' in the names of the categories. The new speech, thought and writing presentation scales are presented as:

[N]	[NPS]	NPV	NPSA	IS	FIS	DS	
[N+IN]	[NPT]	NPT	NPTA	IT	FIT	DT	FDT
[N]	[NPW]	NPW	NPWA	IW	FIW	DW	

Narration (N)

Internal narration (IN)

Narrator's presentation of speech/voice/thought/writing (NPS/NPV/NPT/NPW)

Narrator's presentation of speech act/thought act/writing act (NPSA/NPTA/NPWA)

Indirect speech/thought/writing (IS/IT/IW)

Free indirect speech/thought/writing (FIS/FIT/FIW)

Direct speech/thought/writing (DS/DT/DW)

Free direct thought (FDT)

Leech and Short's original (1981) speech and thought presentation scales have undergone several changes over the years in attempts to make them more inclusive of a wider range of speech and thought presentation types and to correct problems with the categories. The evolution of the scales is still an ongoing process with the possibility of more changes to come. Whilst the changes have kept the scales up to date and helped to improve and make them applicable to a broader range of texts, the various versions of the scales can be confusing and difficult to follow. The continual reviewing of the scales means that even the latest version of them cannot be taken as final and will become outdated with the next update to the scales. The scales' inconsistency makes them harder to use, but their categories are still straightforward to identify in texts. The categories of speech and thought presentation remain clearly defined and easily identifiable. In the next chapter, I apply the categories from Short's

(2012) version of the speech and thought presentation scales to comics, identifying instances of each category from comics. I include the FDS and FDT categories as well despite the fact that Short now considers them to be subcategories of DS and DT because there are cases of speech and thought presentation in comics that equate to freer forms of DS and DT.

Chapter 7: Applying Leech and Short's Speech and Thought Presentation

Categories to Comics

7.1 Introduction

This chapter will address my second research question in the introductory chapter:

2. Can Leech and Short's (1981) speech and thought presentation categories be applied to comics?

In the previous chapter, I discussed in detail the development of Leech and Short's (1981) speech and thought presentation scales from their first proposed form. In this chapter, I expand the use of the scales beyond prose texts into the medium of comics. This chapter tests the applicability of Leech and Short's scales on the multimodal text of comics by identifying instances of each of the scales' categories in examples from comics. If all the speech and thought presentation categories of the scales can be identified in comics, then Leech and Short's scales could be considered applicable to comics as well as prose texts. For this chapter, I use the discourse presentation categories from the 2012 version of the scales (see previous chapter, section 6.11) to identify and categorize types of speech and thought presentation found in comics. The sections to follow will address each of the speech and thought presentation categories with specific regard to comics, using comic panel examples to demonstrate how the categories can occur in comics. Section 7.2 deals with narrator's presentation of voice or thought (NPV/NPT) in comics. Section 7.3 deals with narrator's presentation of speech act or thought act (NPSA/NPTA) in comics. Section 7.4 deals with indirect speech or thought (IS/IT) in comics. Section 7.5 deals with free indirect speech or thought (FIS/FIT) in comics. Section 7.6 deals with direct speech or thought (DS/DT) in

comics. Section 7.7 deals with free direct speech or thought (FDS/FDT) in comics. The chapter will conclude with a summary of its contents (section 7.8), stating which categories of the speech and thought presentation scales I found to be most common and identifiable in comics, such as DS and DT, and which categories I found to be more difficult to find and identify, such as IS and IT.

7.2 Narrator's presentation of voice/thought (NPV/NPT) in comics

NPV and NPT are minimal reports of speech and thought, merely reporting that speech or thought has occurred and giving no indication of the content of the speech or thought. No speech act value (Austin 1962; acts performed by speech such as requesting, promising, thanking, etc.) or propositional content (Searle 1969) (the proposition of a sentence such as 'lock the door' being the proposition of 'Can you lock the door?') is conveyed. NPV encompasses any simple report of voice(s) and includes NPS (narrator's presentation of speech) reporting clauses (e.g. he said). NPS reporting clauses can be found within other more informative forms of speech presentation, like direct and indirect speech, preceding or following after reported clauses (e.g. 'go away,' **he said; he told them** to go away). NPS does not always have to be a reporting clause attached to a reported clause though; it can stand alone as a report of speech on its own (e.g. she was mumbling something). NPV is a broader category than NPS as it includes presentations of voice beyond speech production (e.g. there was a terrible scream). An example of NPV is: 'they were talking' and an example of NPT is: 'he was deep in thought'. In comics, these limited forms of speech and thought presentation can be presented visually as well as in writing. A character can be shown talking or thinking in a picture without revealing what they are saying or thinking. Speech and thought balloons or caption boxes may be absent or if they are present their contents may be unreadable or

uninformative. Visual NPV may be observed in a picture with conversing background characters whose speech is not presented because it is unimportant to or not the focus of the story. Visual NPT would be seen from the body language and facial expressions of characters.

Bousfield and McIntyre (2011) demonstrate how visual, non-linguistic elements of discourse presentation are as important as the linguistic elements for a full analysis of a film. Their study examines how emotion is generated in a film scene through a multimodal combination of linguistic spoken words, non-verbal paralinguistic cues (like intonation, loudness, body postures and gestures) and non-linguistic actions (like looking at someone and physical actions with the body, arms and hands) from characters. Bousfield and McIntyre's (2011) study demonstrates how the emotional states of characters can be conveyed visually by paralinguistic and non-linguistic factors such as facial expressions, direction of sight, body actions, etc. In this way, the emotions and feelings behind speech and thought presentations in comics can be visually conveyed. Hence, the visual aspect of discourse presentation in comics is as important for fully understanding discourse as the written aspect.



Fig. 7.2a (Moore and Gibbons, *Watchmen* (2007), chap. 11, pg. 18.)



Fig. 7.2b (Moore and Gibbons, *Watchmen* (2007), chap. 11, pg. 19.)

The comic panels of figures 7.2a and 7.2b feature two costumed crime-fighters known as The Comedian and Ozymandias. The Comedian, also known by the real name of Edward Blake, is the dark-haired man; Ozymandias, also known by the real name of Adrian Veidt, is the fair-haired man. In both the pictures, we see Blake and Veidt facing directly opposite one another, one or the other speaking to the other. In figure 7.2b, Blake is pointing at Veidt in a provocative manner. Both these pictures are presented from an over-the-shoulder position somewhere behind Veidt (Veidt's back faces us in both pictures). This creates the effect of Veidt's point of view by locating the reader in the same viewing direction as Veidt, so that we are looking at the scenes from a visual perspective close to his own. This character-reflecting point of view is referred to as category B(R) reflector mode narration by Simpson (1993: 55-56) (category B(R) narration in comics was discussed back in chapter 4, section 4.3.3). It is a third person narrator's point of view which reflects the point of view of a character, in this case, the unseen third person narrator is reflecting the point of view of the character Veidt,

but it is not Veidt's own point of view that is being presented here (in which case we would not see Veidt's back in the pictures), only a narrative point of view near to his.

The visual aspects of figures 7.2a and 7.2b can be used to demonstrate visual NPV as they show speech occurring but do not report what is said. Both these pictures are scenes from Veidt's flashbacks of Blake (hence why the reader is positioned from behind Veidt in both pictures). The text with quotation marks in the white caption boxes report the speech of Veidt from the present time as he recounts his past encounters with Blake to others. Veidt's speech from the present in the caption boxes indicate the nature of Veidt's past interactions with Blake, informing us of the intense dislike between the two characters. The antagonism between Veidt and Blake is evident from the oppositional body positioning of Veidt and Blake in the pictures (they face one another directly), Blake's aggressive body language toward Veidt in figure 7.2b (standing over a seated Veidt and finger-pointing directly at him), the antagonistic word pairs in Veidt's direct speech ('intelligent' and 'lunatic', 'alike' and 'despising', 'cowardly' and 'confront' and 'anxieties' and 'black comedy'), Veidt's attack on Blake's 'positive face' (Brown and Levinson 1987: 61) by his open admission of dislike for Blake ("[...] we were very alike, despising each other instantly.") and Veidt's recollection of Blake's blatant 'face-threatening acts (FTAs)' against both his 'positive' and 'negative faces' in the past (Brown and Levinson 1987: 59-61) (Blake had mocked Veidt at a meeting of costumed crime-fighters in 1966; this event is the depicted scene of figure 7.2b which had been shown in greater detail in an earlier chapter of the *Watchmen* graphic novel; Veidt refers back to this past event with "I'm sure you remember."). Based on these visual and linguistic contextual cues, we can infer that the nature of Veidt and Blake's dialogue in the depicted past scenes was not good-natured. Though the content of their speech is not reported, we know from the visual, non-linguistic and verbal, linguistic elements of the pictures that Veidt and Blake's words to one another are unfriendly. Veidt's verbal recollections of Blake from

the present do not report anything about what was said between Veidt and Blake in the past, though Veidt credits Blake with explaining something of importance to him in figure 7.2b ("[...] I had life's black comedy explained to me by The Comedian himself [...]"), but this report of speech is a vague one which still does not give any real indication of the topic or content of what was said, only a suggestive clue to its grim nature in "life's black comedy". Though no content or topic of speech information is given in figures 7.2a and 7.2b, the implied hostility of Veidt and Blake's dialogue provides a little more information about the type and nature of speech being presented than is expected of a NPV or NPS presentation (which only provide the most minimal, basic reports of speech with no detailed information about them). This raises the possibility of a narrator's presentation of speech act (NPSA) categorization as the type of speech, and perhaps the speech act, occurring in the pictures is being indicated by both the visual and linguistic elements. There will be more discussion on the NPV and NPSA categorization of figures 7.2a and b in the next section (7.3).



Fig. 7.2c (Moore and Gibbons, *Watchmen* (2007), chap. 1, pg. 17.)



Fig. 7.2d (Moore and Gibbons, *Watchmen* (2007), chap. 3, pg. 6.)

Examples of visual NPT are featured in figures 7.2c and 7.2d. They show characters to be thinking, but what they are thinking is not reported. Non-verbal behaviour, such as facial expressions and hand gestures, becomes important in these examples for reading the mental states of the characters. The visual nature of comics allows for the body language of characters to be shown directly, objectively and in detail in pictures in contrast to prose texts where they can only be described indirectly, subjectively and minimally in a narrator's words. Through the visual evidence of body language, visual presentations of NPT in comics can thus be more revealing of a thinking character's emotions and feelings than a written presentation of NPT, though neither form of NPT would reveal the thought act value or propositional content of a character's thoughts. In figure 7.2c, Adrian Veidt is shown holding his chin and uttering "hm". This chin-touching action is indicative of being engaged in a thought process. According to Pease (1997), 'chin stroking' is a signal of decision making often used when people are about to make a decision (1997: 55-56). A closed hand resting on the chin, which may also be stroking the chin, can also be an evaluation gesture when a person is evaluating a proposition and making decisions at the same time (Pease 1997: 57). In figure 7.2d, Laurie Juspeck is sitting in the back of a taxi cab. Her head is tilted down, her

gaze is lowered, her brows are being drawn closer together in tension, the corners of her lips are drawn down and her thumb is in her mouth, touching her teeth. Her body language suggests she is upset which leads us to infer, based on the flouting of Grice's (1975) maxim of relation (the expectation that speakers will be relevant in what they say), that her thoughts must be troubling ones. Because Juspeczyk's body language deviates from an expected norm of behaviour (the opposite of the body language we are observing from her: head held up, gaze raised, brows apart and relaxed, lips not curving down and thumb not in contact with the mouth) and is not relevant to her current situation of sitting in a taxi cab, it is signalled that something is not right with her and we determine that she must be unsettled. Grice's (1975) conversational maxims of quality, quantity, relation and manner were meant to be used in relation to spoken language, but here there is a potential application to images for them in how we read visual body language. Note that the text in the white caption boxes is speech from another character in another scene, unconnected to the currently pictured scene of Juspeczyk in the taxi. The features of Juspeczyk's expression fit Ekman and Friesen's (1975) description of the facial appearance of sadness:

The inner corners of the eyebrows are raised and may be drawn together. The inner corner of the upper eyelid is drawn up, and the lower eyelid may appear raised. The corners of the lips are drawn down, or the lips appear to tremble.

(Ekman and Friesen 1975: 117)

And Pease (1997) states that fingers placed in the mouth is "[...]an outward manifestation of an inner need for reassurance" and is a gesture that occurs when a person is under pressure (1997: 52). Though there is no presentation of or insight into their thoughts, the facial expressions and hand-to-face gestures of the characters in the pictures may indicate the nature of their thoughts. The relaxed expression on Veidt's face in the top picture panel suggests that he is calm as he considers something whilst the unsettled expression on Juspeczyk's face in the lower picture panel suggests that she is troubled by unhappy thoughts.

The effects of these visual NPV and NPT examples are distancing and inaccessibility to the characters' words and minds. Our view of the characters is restricted to one of purely visual perception. The reader is not allowed to hear the words spoken by the characters and has no privileged access to their thoughts. Because there is no presentation of speech or thought, we are limited to only an external visual view of the characters. The reader may feel him or herself to be kept at a distance from them and an observer's perceptual point of view of the characters is emphasized.

Visually in comics, NPV and NPT may differ little from narrator's presentation of speech or thought acts (NPSA and NPTA). NPV, NPT, NPSA and NPTA are minimalist discourse presentation categories which do not report the content of speech or thought in any detail. Characters can be depicted speaking or thinking with or without speech or thought balloons and caption boxes in NPV, NPT, NPSA and NPTA. But NPSA and NPTA differ from NPV and NPT in that they provide some summary information about the type or kind of speech act or thought act being performed and perhaps an indication of the subject of speech or thought. In NPV and NPT, no information about what is said or thought is provided, only the fact that speech or thought occurred is reported. NPV and NPT do not inform us of the subject or manner of or any other detail about the speech or thought presented.



Fig. 7.2e (Moore and Gibbons, *Watchmen* (2007), chap. 4, pg. 22.)

Aside from NPS-type reports of speech activity from certain characters, NPV also includes speech events that may involve many participants. Figure 7.2e shows a crowd of shouting protestors out on the streets. The narration in the blue boxes explains what the crowd is protesting about (making this an NPSA presentation when the text is combined with the picture), but we do not know what exactly is being said by the protestors. The picture clearly shows the people of the crowd shouting out. The image (without the text in the blue boxes) is an example of visual NPV involving several speech participants; it presents a large-scale speech event involving many people.



Fig. 7.2f (Moore and Campbell, *From Hell* (2004), in McIntyre (2007: 122).)

McIntyre (2007) points out another way of presenting NPV in an example from the graphic novel *From Hell*. The second panel in the middle in figure 7.2f contains a speech balloon with indistinguishable words. The voice of a character is being presented, but not what is being said. This NPV serves to enhance the sense of physical distance from the two characters in the panel; the distant voice of one of the characters can be heard but is unclear because of how far away they are in the picture. Most speech balloons contain clear words, so when they contain unreadable content, they stand out as foregrounded and are thus likely to create a psychological effect for the reader (van Peer 1986). Distance, non-understandable speech and low or inaudible voices could be indicated by NPV in speech balloons.



Fig. 7.2g (Torres, Nauck and Stucker, *Teen Titans Go! #31* (July 2006), pg. 17.)

In figure 7.2g, the content of the small speech balloon in the second panel on the right is unreadable text. This is another instance of NPV which uses a speech balloon. This NPV speech balloon is being used to indicate a character whispering to another, but the words being whispered are not revealed. The small size of the speech balloon and its unreadable content are indicative of a very low volume of voice which is only audible to the uttering character and her recipient. The whispering voice of a character is presented here and we are given no access to what is said. There is no discernible linguistic content in the whispered speech balloon, but the effect created by this is that the contents of the whisper are being withheld from the reader and kept private between the characters. This inaccessibility of the whispered words implicates social and spatial closeness in deictic terms between the characters, creating an effect of intimacy and close personal relations between them; these private words are for the ears of the listening character only.

7.3 Narrator's presentation of speech act/thought act (NPSA/NPTA) in comics

NPSA and NPTA reveal more information about the speech or thought they report than NPV and NPT. They report what speech or thought act is performed and may also give an indication of the topic of the speech or thought. Examples of NPSA and NPTA are:

He gave him a piece of his mind. (NPSA)

June couldn't stop worrying about what had happened. (NPTA with topic)

In comic pictures, though the exact content of a character's speech or thoughts may be unrevealed, the topic, nature or type of speech or thought shown may be known or inferred from context or previous story information, or visually evident in the image itself. An example of this would be an image of an aggressive-looking character holding a gun to another, the gun-wielding character's mouth open in speech but with no presentation of what s/he is saying. From the image, we would see the speech act of threatening occurring. And based on earlier story events or narrative information, we may know the reason for the gun-wielding character's threatening aggression and hence what s/he might be saying to the target (the subject of his/her speech). The gun-wielding character may have a known vendetta against the target, could be forcing him/her to do something, or could be robbing him/her. Knowledge of the speech or thought act performed and possibly the topic of speech or thought would qualify a visual presentation of speech or thought to be categorised as NPSA or NPTA.

Like NPV and NPT, NPSA and NPTA are narrator-controlled minimal reports of speech and thought. They do not reveal any of the actual content of speech and thought, though NPSA and NPTA provide a little more information about the type and topic of speech or thought that is being reported. Visually in comics, it may be difficult at times to clearly

distinguish between NPV and NPSA and NPT and NPTA, such as when an ambiguous expression is shown on a character's face and we are not told what exactly s/he is thinking, but from previous story information, we may know what is on the character's mind. Uncertain and ambiguous character facial expressions could be considered NPT or NPTA depending on the information available. And there can be subjectivity in how a reader views a character in a picture and thus the reader's opinion on the character's speech or thought can also be subjective. The absence of information about the speech or thought act performed and the topic of the speech or thought would indicate NPV or NPT. But non-linguistic features like the facial expressions and body language of a character in a picture, previous story information and context can inform our interpretation of visually-presented speech and thought, enough to be able to regard some instances as NPSA and NPTA.

Visually, the differences between NPV and NPSA and NPT and NPTA lie perhaps in the clarity and amount of visible detail in the pictured speech or thought. If the speech or thought act being performed by a character can be effectively conveyed in a picture without words, this would be visual NPSA or NPTA. A picture may also offer visual indicators of the topic of speech or thought, such as objects of attention in the surroundings or character actions. A character depicted with an expression of concentration and thought whilst scratching his head would be interpreted as being engaged in a thought act of puzzling over something. An example of visual NPTA like this could also be supported by narrative, contextual and previous story information which might provide the subject of the character's puzzlement. Speech acts and thought acts can be presented pictorially and additional information about them (such as topic) may come from accompanying textual narrative information or details previously given in the story.



Fig. 7.2a



Fig. 7.2b

Figures 7.2a and b from the previous section (7.2) on NPV and NPT demonstrate how it can be more difficult to place visual presentations of discourse into fixed categories than textual presentations of discourse. Categorizing an image in which a character appears to be speaking as either NPV or NPSA may depend on how much of the character's body language and

facial expression is observable from the picture and also on how much information is given in any accompanying text (be it written narration or discourse presentations). Viewing visual discourse presentations in terms of their position along a cline is perhaps more helpful than trying to allocate them into specific categories. The categories of Leech and Short's discourse presentation scales can be seen as signposts along a cline which decreases in degree of narrative interference (becomes more mimetic) toward one end and increases (becomes more diegetic) toward the other end (see figure 7.3a). Figures 7.2a and b could be placed somewhere between NPV and NPSA on the speech presentation scale because they possess features of both categories (see figure 7.3a). The pictures of figures 7.2a and b show the two characters Blake and Veidt addressing one another but with no information on what exactly is being said, indicating a categorisation of visual NPV. But verbal cues from the direct speech text accompanying both pictures (in white caption boxes) along with the visual evidence of the characters' body language and positioning in relation to each other provides more contextual information that indicates the type and nature of speech occurring in the pictures, supporting a categorisation of combined textual and visual NPSA. Hostile, confrontational and aggressive speech between the characters Veidt and Blake in figures 7.2a and b is indicated by verbal, linguistic and visual, non-linguistic contextual cues which convey antagonism and opposition between the two characters (see previous section (7.2) for more on the creation of antagonistic effects between the characters in figures 7.2a and b). This is more than just a minimal NPV or NPS report of the occurrence of speech as an indication of the type of speech occurring is given as well (i.e. hostile speech). The lack of clear information on the speech act and topic of speech prevents the presented speech of figures 7.2a and b from being unambiguously categorized as NPSA. So the speech being presented in figures 7.2a and b cannot strictly be categorized as either NPV or NPSA, but because of the

combined visual and textual contextual information of the pictures which indicate a hostile type of speech being reported, they may be seen as leaning more toward NPSA than to NPV.

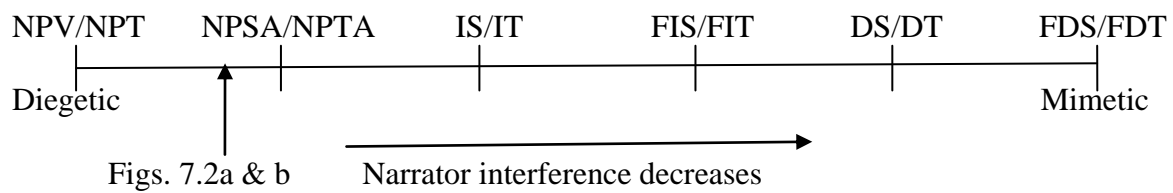


Fig. 7.3a - Leech and Short's discourse presentation scale



Fig. 7.3b (Moore and Gibbons, *Watchmen* (2007), chap. 5, pg. 11.)

Figure 7.3b comes from the first person point of view of Walter Kovacs who is also the vigilante Rorschach. The woman surrounded by children is Kovacs' landlady. Her facial expression is one of displeasure. It contains the features of Ekman and Friesen's (1975) description of the appearance of anger: "The eyebrows are lowered and drawn together, the eyelids are tensed, and the eye appears to stare in a hard fashion. The lips are either tightly pressed together or parted in a square shape." (1975: 82). Holding up her right hand with fingers curled upwards, the landlady appears to be demanding something from Kovacs. The first person narration in the yellow scrap paper boxes, direct writing presentations of entries

from Rorschach's journal, summarise what the landlady is saying to Kovacs: "Usual complaints re hygiene and rent." The speech act performed by the landlady (complaining) and the topic of her speech (hygiene and rent) are provided in the text, though not the propositional content of her speech or the precise words she speaks. This is a textual NPSA example which is supported by an image. From the picture, the landlady appears annoyed and fed up from her facial expression and the holding out of her hand with fingers curled upwards suggests she is asking for something, but we do not know anything about what she is saying from the picture alone. It is only the text within the yellow torn paper-like boxes that informs us of the complaining speech act that the landlady is performing and the hygiene and rent topics of her complaints.

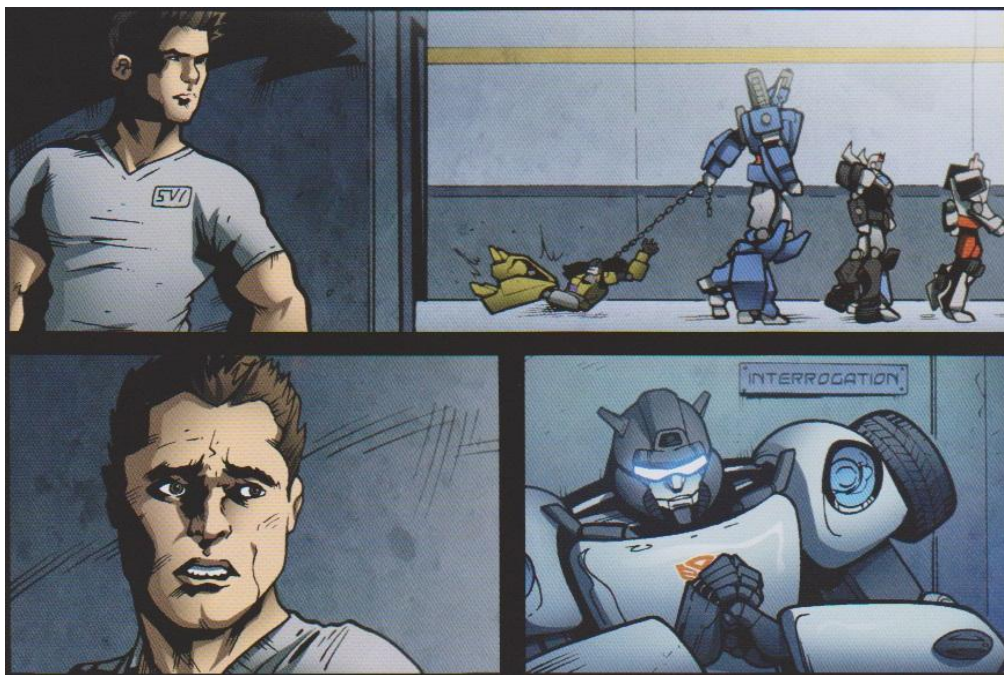


Fig. 7.3c (Costa and Cahill, *The Transformers* #29 (Nov. 2011), pg. 14.)

The panels of figure 7.3c are almost purely visual, containing no dialogue text. The only writing present in the pictures are the logo on the T-shirt (top panel) and the interrogation sign (lower right panel). Spike Witwicky, a human ally of the 'Autobots', is shown secretly observing a 'Decepticon' prisoner being dragged into interrogation by his Autobot captors. In

the bottom left panel, Witwicky appears unhappy by what he sees, though there is ambiguity in exactly what kind of emotion he is feeling. Here we might have an example of visual NPTA. Witwicky's expression could be indicative of a variety of emotions such as worry, dismay, dread, guilt, regret and internal conflict. Ekman and Friesen (1975) describe the facial appearance of fear as:

The eyebrows are raised and drawn together; the eyes are open and the lower lid is tensed; and the lips are stretched back.

(Ekman and Friesen 1975: 50)

They also describe the facial appearance of sadness as:

The inner corners of the eyebrows are raised and may be drawn together. The inner corner of the upper eyelid is drawn up, and the lower eyelid may appear raised. The corners of the lips are drawn down, or the lips appear to tremble.

(Ekman and Friesen 1975: 117)

Features of both fear and sadness can be identified in Witwicky's expression. His inner eyebrow corners are raised and stretched closer together, indicating sadness. But his wide open eyes and stretched open lips seem indicative of fear. Ekman and Friesen would describe Witwicky's facial expression as a 'blend' of fear and sadness as it displays signs of both emotions (1975: 122). This blend of fear and sadness is an emotional response that may or may not be linked to some thought act, such as knowing, believing, realizing or anticipating something harmful or bad from what he has witnessed. The subject of his inaccessible thoughts, if he is having thoughts, remains unknown, but from the evidence of his facial expression, we are given a clue to Witwicky's internal state of mind. His apparent mixture of fear and sadness suggests he is afraid of and upset by the sight of the Decepticon prisoner being brought in for interrogation. At this point in the story, we do not know the reason for this anxious reaction, but it is cause for suspicion because Witwicky is supposed to be an ally of the Autobots who has helped them in combating their Decepticon foes before. There is no

known reason for him to be against the capture and interrogation of any Decepticon unless he is concealing some kind of secret. It is in fact revealed later in the story that the reason for Spike's apprehension was that he knew he was on the verge of being discovered for illegal former weapons dealings with this particular Decepticon prisoner; he had anticipated the discovery of his crimes and his betrayal of the Autobots' trust. The NPTA categorization of this example is a subjective one due to the ambiguity in whether thought is actually occurring and what exactly the thought act might be.

It is possible to argue for a categorisation of visual NPT for this example too. We may determine from the character's non-verbal behaviour that he is engaged in some unspecified thought process, but we are given no further information about this. This fulfils the criteria for an NPT categorisation. An NPTA categorisation is supported though by the character's facial expression of fear and sadness which indicates the severity and negative tone of his thoughts and suggests the fearful and possibly guilty thought act he is engaged in. The topic of thought, which may also be given in NPTA presentations, remains unstated here though. Whether this example is a case of visual NPT, NPTA or has no thought at all is not clear. The categorization of its thought presentation is subjective to the reader and a distinction between NPT and NPTA is hard to find here.

7.4 Indirect speech/thought (IS/IT) in comics

Like the narrator presentations of speech and thought (NPV, NPT, NPSA, NPTA), indirect speech (IS) and indirect thought (IT) are reports of speech and thought that are told in the narrator's words. But IS and IT report the same propositional content of speech and thought as direct speech and thought; the propositional content of DS and DT is also recoverable from IS and IT. IS and IT do not claim faithfulness in their reports like DS and DT, but their

content may be of the same value and detail as DS and DT. IS and IT can be created simply by converting the syntax of DS and DT to that of the narrator's, for example, from a character's first person and present tense in direct discourse to the third person and past tense of the surrounding narrative text. In IS and IT, the speech and thought of characters are paraphrased by the narrator from their original DS and DT forms. IS and IT prototypically consist of reporting and reported clauses joined in a sentence:

She told him to leave her alone. (IS)

He wondered if he had made the right choice. (IT)

'She told him[...]' and 'he wondered[...]' are reporting clauses; '[...]to leave her alone' and '[...]if he had made the right choice' are reported clauses.

Indirect reports of speech and thought like the sentences above were hard to find in my comic data; I could not find any, in fact. It appears that it is not often that the contents of characters' speech or thoughts are conveyed through indirect narration. Because of the visual and mimetic (show rather than tell) nature of comics, direct forms of discourse presentation seem to be favoured over indirect forms, to the point that indirect discourse is hardly ever seen in comics. Speech and thought are most commonly presented directly in speech and thought balloons attached to characters in pictures, claiming to report the exact words spoken or thought by characters. Though IS and IT report the same propositional content as direct speech and thought, they are not presented in the same way. IS and IT do not use quotation marks in prose and they would not use speech and thought balloons in comics; markers of direct speech and thought cannot be used for IS and IT. So because IS and IT cannot be presented in balloons like direct speech and thought, they cannot be as closely tied to characters visually and integrated into a pictured scene.

Compared to direct speech and thought, IS and IT occur very little in comics. The comic medium is not suited for narrator-mediated presentations of discourse. Theoretically, IS and IT in comics would have to be placed in narrative text boxes where the words of the narrator are presented, separated from the pictures they accompany and existing outside of the fictional world of the picture. IS and IT are non-integrative with pictures as they are products of the textual narration of novels, are used in second-hand reports of discourse and require the voice of a narrator to present them. Because indirect discourse is told through the mediating words of a narrator, it cannot be presented as immediate to and directly involved in the fictional world of the pictures in comics, hence it will always be narratorially distanced from a pictured situation and characters.

7.5 Free indirect speech/thought (FIS/FIT) in comics

In prose fictional texts, FIS and FIT merges the voices of the narrator and the speaking/thinking character, combining their positions and points of view. Typically, FIS/FIT in prose texts are identified by their possession of the grammatical characteristics of IS/IT, but some of the lexical 'flavour' and deictic properties of DS/DT (Short 1996: 306). Features of both indirect and direct forms of speech or thought are mixed in FIS/FIT. This can be seen in the following examples:

FIS example:

One of the nice things about Time, Crowley always said, was that it was steadily taking him further away from the fourteenth century, the most bloody boring hundred years on God's, excuse his French, Earth.

(Pratchett & Gaiman 2012 [1990]: 26)

FIT example:

He ought to tell Crowley.

No, he didn't. He *wanted* to tell Crowley. He *ought* to tell Heaven.

(Pratchett & Gaiman 2012 [1990]: 244)

Both the FIS and FIT examples above maintain the indirect third person narrative (third person pronouns 'he' and 'him' and possessive determiner 'his') and past tense ('was', 'didn't', 'wanted') of an external narrator. But informal and vernacular language ('one of the nice things about [...]', 'bloody boring', 'excuse his French' (narrator's words substituting for character's bad language), 'God's [...] Earth') and modal verbs ('ought', *deontic* modal indicating obligation, and 'wanted', *boulomaic* modal indicating desire (Simpson 1993: 47)) are indicative of the character speaker/thinker, conveying DS/DT qualities (words that originate from the character rather than the narrator). The narrator and character voices are thus combined in free indirect discourse.

In comics, the reduced use of written narration in comparison to prose texts means that there are fewer reports of speech and thought occurring in the words of a narrator, as with IS/IT. The lack of indirect forms of discourse leads to a decrease in overt narrator-mediated forms of discourse presentation and an increase in direct forms of discourse presentation. So the narratorial interference in most presentations of speech or thought is decreased in favour of presenting speech or thought more directly. Combinations of character and narrator voices do still occur in comics, but they can take very different forms from the FIS/FIT often found in prose texts. Instead of a narrator's indirect reports of speech and thought flavoured with some of the direct words of a character speaker/thinker, the reverse may be found in comics whereby the DS or DT of characters may possess some narratorial influence. It is thus not so easy and straightforward to classify free indirect discourse (FID) in comics. Ambiguous and variable cases of combined narrator and character voices can be found. There can be instances of DS and DT where the speaking/thinking character delivers

narratorial information for the benefit of the reading audience and thus also becomes a first person narrator. When a character's direct and narrative voices are merged in DS and DT, a type of first person FID, close in form to first person narration, is formed. Third person FIS and FIT can also still occur in comics, but these are harder to find than first person FIS and FIT which may occur in the forms of DS and DT; use of third person and indirect forms in a visual medium like comics is minimized whilst use of first person and direct forms is increased. First person narration is located from within a character's point of view and like direct reports of discourse, which claim to faithfully reproduce the actual words of a character's speech or thought, claim to be sourced from the character. Third person narration can be influenced by the words of a character and reflect the character's point of view (giving rise to FIS and FIT which convey some of the characteristic flavour of a character's DS/DT), but it still remains sourced from an external third person narrator.

As DS and DT in comics are common and often the main form of textual information, narrative influence in them becomes more frequent too. When a character's narrative voice seems to come through in his/her DS or DT, it can be incongruent with the character's plausible DS or DT voice, leading to artificial-sounding words emanating from the character which do not fit in believably within his/her DS or DT. This narrative interference may occur in varying degrees. 'Narrator-influenced DS/DT' can be said to reverse the roles of the narrator and character. Instead of a narrator reporting the speech and thoughts of a character, the character presents narrative information through his/her DS and DT. DS and DT containing first person narrator interference is perhaps a form of speech and thought presentation exclusive to comics. Like FIS and FIT in prose texts, narrator interference in DS and DT in comics combines narrator and character voices (which both originate from the character when presented as DS or DT as they are written in first person), but they present this combination of voices in a different way: the character's direct voice becomes the base

for embedding narrative information. For this reason, I argue that instances of DS and DT in comics that display narratorial influence are not true cases of FIS and FIT; they are still categorised as instances of DS and DT because they are presented in that form and the combination of narrator and character voices is different from FIS and FIT in prose texts. The presence of a narrative in DS and DT thus forms another discourse category relevant to comics only.

Whether all cases of discourse presentation that merge narrator and character voices should be categorised as forms of FID is debatable. Assuming the following definition of FID:

Free indirect discourse has been described recurrently in terms of a ‘dual voice’, a merging of characters’ and narrator’s discourse.

(Fludernik 1993: 322)

it could be proposed that DS and DT with narrative qualities could also be classified as cases of FIS and FIT. If FID is the merging of narrator and character voices, then DS and DT in comics with detectable narrator influence could be argued to possess this ‘dual voice’ feature and thus be considered types of FIS and FIT. But these cases of FIS and FIT in comics are different from the FID in fictional prose texts. Whereas in prose fiction, FID is often characterised as the maintenance of the narrator’s third person syntax integrated with some of the expressive features of a character’s DS or DT, in comics, it can be the reverse of this with the character’s first person syntax integrated with some of the knowledge and omniscience of the narrator. The first person character-narrator aligns him/herself with the deictic positioning of his/her participating persona in the story and uses his/her DS or DT to channel his/her voice. Unlike the narrator of FID in prose fiction, the narrator in first person FID in comics is often contained within DS or DT and does not report the speech or thought s/he is embedded in, only provides additional information for the story.

The prevalent use of first person in comics means that third person pronominal and temporal markers are not often used for distinguishing FID as they would be in third person narrative texts of prose fiction. This allows first person FID in comics to be presented as the DS and DT of characters. First person narration can blend with the first person voice of DS or DT. Where FIS and FIT in prose texts usually involves some of the direct words of a character embedded within the narrator's indirect report, in comics, FID can be some words from a first person character-narrator embedded in the direct dialogue of the same character.

A general observation of modern comics may show presentations of first person FIT (in the form of DT), where narration and thought merge, to be particularly frequent. These cases of first person FIT in comics may be difficult to identify as either internal first person narration or DT presentation:



Fig. 7.5a (Moore and Gibbons, *Watchmen* (2007), chap. 4, pg. 1.)

In figure 7.5a, the unusual temporal perception of a super-powered being known as Dr. Manhattan, who perceives time differently from others, viewing past, present and future simultaneously, is being represented. The three picture panels move from third to first to third

person visual points of view. The first picture panel (far left) is a third person close-up view of a blue hand holding a worn and tattered photograph. The third person visual perspective of this picture is identified by an observer's sideways view of the hand and photograph which cannot come from the first person visual perspective of the character whose hand we are shown. The second picture panel (middle) offers a first person view of the photograph lying on the ground (distinguished by the presence of stones and footprints). This picture looks down through the eyes of Dr. Manhattan at the photograph on the ground, giving us access to Dr. Manhattan's first person visual perspective. The third picture panel (far right) gives us a third person long-distance whole-body shot of Dr. Manhattan, showing him to be sitting on a rock as he looks at the photograph in his hand. The whole-body sideways view of Dr. Manhattan from a distanced observer's position in this picture identifies its third person visual point of view. The light blue boxes contain Dr. Manhattan's internal first person narration which describes his unique perception of time. The present tense of the first line: "The photograph is in my hand" identifies the first picture panel as being set in the present. The second picture panel occurs "twelve seconds" into the future. The repetition of the line: "The photograph is in my hand" returns the third picture panel back to the present. The shifts in the pictures from third to first to third person visual points of view and from present to future to present times serve to convey Dr. Manhattan's fluctuating perception of time; he shifts out of the present to glimpse a few seconds into the future and returns back to the present again. His first person textual narration in the boxes gives us insight into his consciousness and can be read like his thoughts. It conveys his unusual perception of time by moving between the present ("The photograph **is** in my hand."), the future ("In twelve seconds time, I drop the photograph[...]") and the past ("I **found** it[...]"). The temporal (time adverbials like "In twelve seconds time[...]") and present tense in "[...]is in my hand" and "Ten seconds **now**.")) and pronominal (first person pronoun "I" and possessive determiner "my") markers of Dr.

Manhattan are suggestive of DT, but the text content is narratorial in nature, locating the reader from Dr. Manhattan's first person perspective. The internal first person narration of Dr. Manhattan brings us into his consciousness and offers us a glimpse into how he perceives. Though it is not DT that is being presented here, Dr. Manhattan's internal first person narration still provides us with access into his mind. It can be seen from this example how close in form DT can be to internal first person narration and hence the potential to bring the two together in a first person FIT combination. There will be more discussion of narration and thought combination in chapter 8.

It should be remembered that what has thus far been referred to as first person FID in comics is DS or DT containing first person narrative interference. This is not to be confused with FID that may be found in first person narrated prose texts. Combining narrator and character voices in comics often occurs in a character's DS or DT. In prose texts, narrator and character voices merge within narration, reported through the narrator. Dual voices can take different forms in prose texts and comics.

Having just highlighted the differences between FID in comics and in prose texts though, that is not to say that FID in comics cannot occur in a similar form to prose texts. FID in third person may also be found in comics:

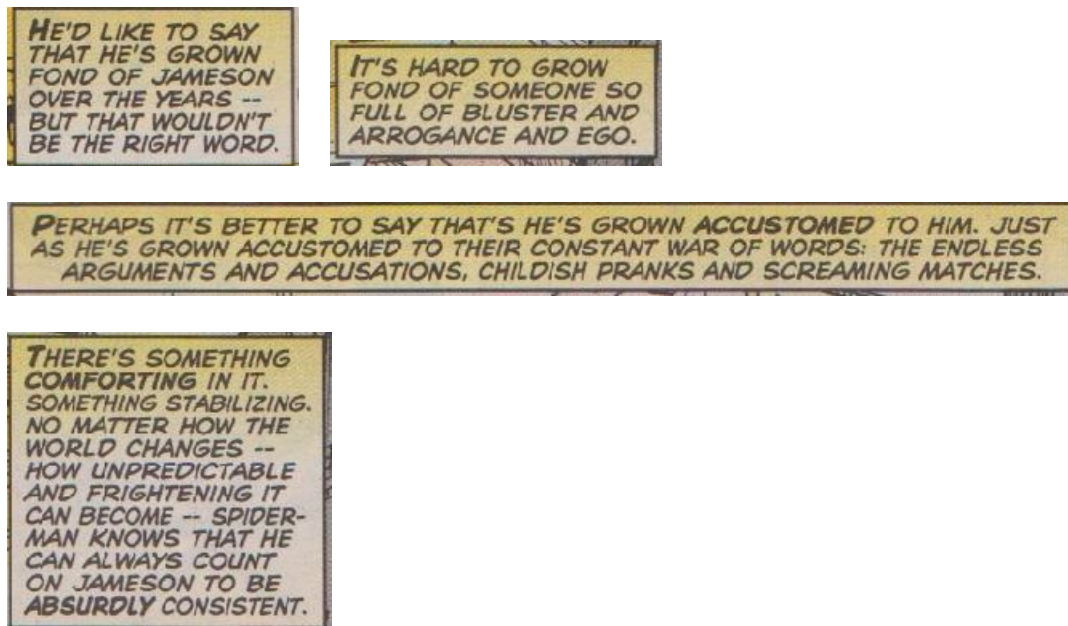


Fig. 7.5b (De Matteis, Ross and Stanisci, *The Spectacular Spider-Man* #241 (Dec. 1996), pg. 9.)

Figure 7.5b consists of boxes of narration from a page of a 1990s Spider-Man comic (see appendix 2). It displays FIT that is like the FIT often found in fictional prose texts. The text here comes from an external third person narrator, but it reflects the point of view of the superhero character Spider-Man. It is an example of Simpson's category B(R) narration (see chapter 4, section 4.3.3). The third person narrator is relating Spider-Man's views of the character J. Jonah Jameson. The use of third person pronouns, names and possessive adjectives: 'he', 'him', 'their', 'Jameson' and 'Spider-Man', identify the text as third person narration. But the informal language ("He'd like to say that he's grown fond of Jameson...", "There's something comforting in it.", "...he can always count on Jameson..."), use of the definite article *the* ("...over **the** years...", "...**the** endless arguments and accusations...") and evaluative adjectives ('constant', 'endless', 'childish', 'comforting', 'unpredictable', 'frightening', 'absurdly consistent') mark Spider-Man's point of view. Temporal and social deixis (present tense in "It's", "he's" and "There's" and reference of familiarity to Jonah Jameson by last name only "Jameson") reflect Spider-Man's deictic positioning too. The

reference to J. Jonah Jameson by his last name 'Jameson' is Spider-Man's term of reference for that character. Combining the voices of the third person narrator and Spider-Man creates FID. Spider-Man's feelings and thoughts in regards to Jameson are presented through the words of the narrator; language characteristic of Spider-Man is integrated into the narrator's syntax. There is also an example of embedded hypothetical IS in this FIT in the first sentence: "He'd like to say that he's grown fond of Jameson over the years[...]"; hypothetical words that Spider-Man would like to say in regards to Jameson but does not are reported here. This hypothetical speech is the narrator's representation of Spider-Man's feelings towards Jameson rather than an indirect reporting of Spider-Man's internal dialogue.

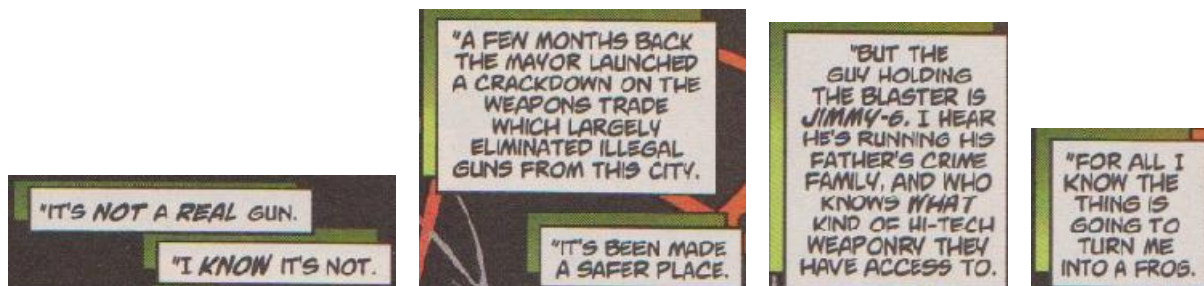


Fig. 7.5c (Mackie, Romita Jr. and Hanna, *Peter Parker: Spider-Man #8* (Aug. 1999), pg. 1.)

Figure 7.5c contains boxes of text from the first page of a Spider-Man comic (see appendix 3). They are part of an introductory narration at the beginning of the issue. The first page that this text is taken from depicts Peter Parker (Spider-Man's real identity) on his knees being held at gunpoint from behind by a large man. The text is identified as Parker's voice as it is written in first person ('I', 'me') and uses present tense ("It's not a real gun.", "I **know** it's not."). Parker's point of view is indicated by *epistemic* modality (Simpson 1993: 48) ("I **know** it's not.", "I **hear** he's[...]") and limits in knowledge ("[...]and who knows what kind of[...] ", "For all I know[...]"). The text serves to highlight and address Parker's dangerous situation and identify the man holding the gun to his head. Though the text is presented as Parker's DTs (reporting quotation marks used at the beginning of each box of text), it serves

narratorial functions to inform the reader of Parker's current situation and to begin the story '*in medias res*' (Short 1996: 267), at a mid-point in the story's events, which will prompt questions about how Parker got into his current (dangerous) situation. By its length, this opening narrative (see appendix 6 for all of the text) seems less plausible as Parker's DTs, especially at the brief and tense moment in which it occurs when Parker is being held at gunpoint; it does not seem natural for a person to have such long and detailed thoughts when he is in a dangerous situation. The text seems more directed at the reader than being words Parker would think to himself. It is more like Parker's first person narrative voice is being presented as his DT. He informs us of his current situation and how much he knows about it. Parker is a character-narrator who delivers his narration through his DT here; Parker's DT is being used as the channel through which to report his internal first person narration. His first person narrator and DT voices have been made synonymous. This example could be described as narrator interference in DT or first person FIT presented as DT. The typical narrator and character positions in discourse presentation are reversed (the narrator's words being presented as a character's thoughts rather than the character's thoughts being presented by the narrator). In prose fictional texts, FIS and FIT are reported in the narrator's indirect voice but may convey some of a character's DS or DT qualities. In comics, when first person character-narrator and character speaker/thinker voices are combined in the form of DS or DT, the first person character-narrator is able to narrate through his/her own direct dialogue. This embeds narration within the mimetic and directly-presented world of a comic story by locating it internally in the DS or DT of characters.



Fig. 7.5d (Mackie, Romita Jr. and Hanna, *Peter Parker: Spider-Man* #8 (Aug. 1999), pg. 8.)

In figure 7.5d, from the same Spider-Man comic as figure 7.5c, Peter Parker's DTs are presented in connected cloud-shaped thought balloons. But the content of the thought balloons does not seem to be a true and accurate presentation of Parker's DTs. After the first sentence, the DTs become non-naturalistic. The bottom two balloons seem to exist to explain Parker's first sentence: "That's the **last** thing I need!" They provide historical knowledge on one of Spider-Man's enemies known as 'Venom' for the benefit of unfamiliar readers. Rather than being a direct presentation of Parker's thoughts, the text in the thought balloons reads more like poorly written informative dialogue that is aimed at the reader more than to Parker himself. It is unnecessary for Parker to be reminding himself of information that he is already familiar with, like "[...]when he's combined with that alien symbiote of his, both of whom hate me, and they become Venom[...]". This is information for the reader. The insertion of narrative information into Parker's DT is quite obvious here. Parker's narrative and direct voices have not been merged well in this instance, despite the use of first person and present tense throughout. Like the prior example from the first page of the same Spider-Man comic, this example of narrator-influenced DT or first person FIT involves the first person narrator communicating to the reader through his own DT voice. But in this instance, Parker's DTs are

presented in thought balloons. It is possible that thought balloons may be viewed as a stronger and clearer indicator of DT presentation than caption boxes (which are also used to present narration) and thus may enhance the perception of balloons' contents as DT. Because of this stronger indication of DT from thought balloons, it is possible that the narratorial interference in Parker's thought balloon text stands out more prominently and awkwardly than narratorial interference in the DT of caption boxes as it contradicts the strong DT claim of the thought balloons as well as not successfully blending with the voice of DT. DT presented in caption boxes is not visually linked to a character with a tail as thought balloons are, so it may become easier to view DT in boxes as a little more detached from a character and closer to narration which is also presented in caption boxes. Caption boxes may hence help to distance a DT presentation from the thinking character and to bring DT closer in form to internal first person narration. DT in thought balloons remains tied to the thinking character and resistant to narratorial interference. Narratorial interference in DT may be made more acceptable and/or less obvious by presenting DT in caption boxes rather than thought balloons.

As in the FID of prose texts, cases of combined dual narrator and character voices also occur in comics, but the forms of dual voice found in comics can differ considerably from those in prose texts. It is debatable whether instances of DS or DT that display influence from a narrator should be considered cases of FID that are presented in the direct words of a character. The distinction between direct and free indirect discourse is marred in these cases since they could be categorised as either narrator-influenced DS/DT or first person FIS/FIT.

7.6 Direct speech/thought (DS/DT) in comics

The most common types of discourse presentation in comics are DS and DT. They are presented in speech and thought balloons. The dialogue within a balloon is equivalent to a reported clause ("Give me that," he said.), the speech or thought balloon itself is equivalent to quotation marks ("Give me that," he said.), and the balloon's tail is a graphological equivalent to a reporting clause ("Give me that," **he said.**). DT is also presented in caption boxes as well as thought balloons. From general observations, thought balloons are not as common in modern comics as they once were in older comics; DT is often presented within caption boxes now. In the case of DT in caption boxes, the caption box becomes the equivalent of quotation marks and a reporting clause combined as it does not have a tail like balloons.



Fig. 7.6a (Mackie, Romita Jr. and Hanna, *Peter Parker: Spider-Man* #8 (Aug. 1999), pg. 3.)

Two types of speech balloons are displayed in figure 7.6a. The standard oval-shaped balloons report the DS of Spider-Man who is shown in the picture talking on a phone. The jagged speech balloon indicated to be emanating from the phone presents the voice of another

character who is talking to Spider-Man over the phone (under the assumption of his real identity of Peter Parker). The different shapes of the speech balloons highlight the different sources of DS. The oval balloons originating from Spider-Man present normal speech that we would hear from close proximity to a speaker; the jagged balloon coming from the head of the phone presents speech from another speaker that is being electronically transmitted over a long distance. Different types of speech balloons can indicate different modes of speech presentation. In the case of the jagged speech balloon, the balloon is not only reporting the words of DS, but is also conveying the channel through which the speech is being transmitted (the phone line). So the jagged shape of the speech balloon is equivalent to a reporting clause with some narratorial details about the DS being presented, like 'the voice from the phone said...' or '...the phone voice said'. Deictic distancing is also indicated by the jagged balloon as it conveys a voice from far away which travels through the phone. This example shows that DS is not always presented in round, oval-shaped speech balloons. When speech balloons with different shapes are used, they create different types of speech and effects and convey extra information about the DS they are presenting.



Fig. 7.6b (Costa, Roberts and Ramondelli, *The Transformers* #28 (Oct. 2011), pg. 18.)

The large font size, bolding and unusual font style of the DS in figure 7.6b convey emphasis and high volume. They create the effect of a voice of magnitude which, coming from a giant character, we may interpret to be booming and thunderous. This is what Short (1999: 317) calls a *graphology-symbolic* effect. The graphology of the text is being used to symbolize the

sound of speech. The graphological devices of bolding, font style and font size are conventionally representative of prosodic features: emphasis, voice quality and volume. In comics, the font size of words is indicative of their volume, the use of bold indicates emphasis, and different font styles can indicate different types of voices and ways of speaking. The visual features of DS in comics can thus be important for conveying prosodic information about speech, indicating volume, tone and manner. In prose texts, the way in which speech is delivered and how it sounds is often described by the narrator. This is avoided in comics by the use of graphology-symbolic representations to convey speech effects instead.



Fig. 7.6c (Z. and Green, *Witchblade* #38 (Mar. 2000), pg. 7.)

As well as font sizes, bold and font styles, colouring of speech balloons and text can also emphasize or indicate speech effects or convey information about speech. In figure 7.6c, the red circle framing the lower speech balloon helps to emphasize the force and volume of the DS, though the larger size of a couple of the words ('anybody' and 'anything') already indicate emphasis on those words. Colouring of speech balloons (or thought balloons or caption boxes) and/or the text contained within them can make voices stand out, link the speech (or thought) to a character and indicate the volume and paralinguistic features (non-verbal

elements, e.g. pitch and intonation) of the presented voice. It is another visual feature that can add to the reporting of discourse in comics.



Fig. 7.6d (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Volume 29* (2011), pg. 89.)

Figure 7.6d comes from a translated Japanese manga comic and is read from right to left. The different speech balloon shapes with oval, spiked and wobbly lines suggest different tones and qualities of voice. The common oval-shaped balloons (in the top right panel) convey a normal, calm tone of speaking voice. The spiked balloon (in the lower right panel) indicates an urgent tone of voice. And the wobbly-lined balloon (in the left panel) suggests an unstable and emotional voice. This further demonstrates how visual cues may contribute to our reading of discourse in comics. Speech balloon shapes tell us how speech should be read. They qualify the reporting of speech by indicating the tone and manner in which speech is delivered. Unlike in prose texts, DS presentations in comics can be multimodal, requiring reading of not only the text but of the visual features around it too.



Fig. 7.6e (Byrne, *Batman: Black & White* (Apr. 2000), pg. 6.)

The speech balloons in figure 7.6e are made up of dotted lines. They are different from conventional hard-lined speech balloons indicating a different mode of speech. These dotted line balloons indicate that the speech within them is being whispered or uttered in hushed tones. A similar effect was created in figure 7.2g (section 7.2) which also presented whispered speech in a small speech balloon but revealed none of the content of the speech (a NPV being used to present whispered speech). In the case of figure 7.6e, the content of speech and the context of the picture help us to interpret the dotted line speech balloons as whispered or low volume speech as the two conversational participants appear to be discussing a private matter and are leaning in close to one another.



Fig. 7.6f (Moore and Gibbons, *Watchmen* (1986, 2007), chap. 6, pg. 5.)

The multiple speech balloons in figure 7.6f create the effect of overlapping voices by having the balloons overlapping one another and blocking parts of words in some of the balloons. This highlights how DS in comics, like in other scripted mediums (prose texts, plays and films), is not a true and accurate representation of real speech where overlaps, interruptions, pauses, false starts and other non-fluency features often occur. Speech in comics is normally kept clearly separate and as a result we perceive dialogue from more than one character as happening one after another without overlaps. Comic conversations often appear to run smoothly with speakers taking their turns to speak and never talking over one another. Where overlaps, interruptions and other non-fluency features are represented in the DS of comics, an effect of foregrounding usually occurs and they can be indicators of states of mind (such as anger, impatience and nervousness) and types and tones of dialogue (such as disagreements, arguments and debates). In figure 7.6f above, the overlapping voices serve to highlight the numerous enemies that the vigilante Rorschach (shown unmasked) has in the prison that he is being led through. Their intense hatred of Rorschach is emphasized by their various threats

being shouted over one another. The overlapping speech here highlights the number and intensity of criminals that are eager to get payback on the vigilante who put them behind bars.



Fig. 7.6g (Tomine, *Hawaiian Getaway*, pg. 179 in Brunetti (2006).)

Figure 7.6g displays DT in its panels. Thought balloons are similar to speech balloons in their round, cloud-like shapes and in being linked to characters with tails, but it is the tails that distinguish thought balloons from speech balloons. Prototypically, thought balloon tails are composed of bubbles decreasing in size as they approach a thinking character's head; speech balloon tails are long, unbroken lines pointing to the speaking characters. The content of DT presentations can resemble DS presentations in their use of personal first person markers and relevant tense and may look like something that could be spoken, but all presentations of thought are private to the thinker and are not perceivable by other characters. DT is a representation of a character's internal mental voice, of what is going on in a character's mind, whilst DS is a representation of a character's external audible voice, of his/her spoken utterances. Unlike prose texts where IT is the norm for thought presentation, DT appears to be the predominant form of thought presentation in comics in quantitative terms (whilst IT is rare). This is due to the mimetic and visual style of comics which minimizes narrator reports

of discourse (NPV, NPT, NPSA, NPTA, IS and IT) and maximizes direct discourse presentations. In semantic terms though, DT may not necessarily be the norm for thought presentation in comics as IT may still remain a more plausible form of thought presentation than DT, regardless of the medium. DT in comics may still come across to readers as a more artificial and implausible form of thought presentation, but it is accepted because of the fictional narrative it is presented within and because any type of diegetic indirect discourse would contradict the visual and mimetic style of comics and deviate from the direct discourse norm. The implausibility of DT can affect its form (use of narrator-influenced forms of DT (see section 7.5)), how it is presented (the use of caption boxes as opposed to thought balloons) and its use and frequency (may not be used as often as DS) in comics.



Fig. 7.6h (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Volume 29* (2011), pg. 64.)

Figure 7.6h from a translated Japanese manga comic shows a DT presentation contained within a different kind of thought balloon. Instead of the common circular thought balloon with a tail of bubbles, the words of DT here are contained within what appears to be a flash of light. Part of the thinking character's face is illuminated by the light of the DT. It appears as if the DT is a source of light hanging beside the top of the thinking character's head and is shining upon her face, illuminating half of the face nearest to it and casting the other half into shadow. This unusual way of presenting DT might come from the light bulb which is

symbolic of an idea springing into a mind when it appears over someone's head. This way of presenting DT may be unique to this particular manga comic (or perhaps used in some other manga comic titles too) and may not even be used for all presentations of DT in the comic (other forms existing too), but it demonstrates how visual creativity is possible in DT presentations in comics. DT does not necessarily always have to be presented in the traditional thought balloon with a bubble tail; other types of visual frames may be used to present DT.

Direct presentations of speech and thought are the most common type of discourse presentation in comics because there is a preference to show rather than tell story information in comics. DS and DT (and their free direct variations) are the most mimetic forms of discourse presentation, taken to be the words actually uttered or thought by characters, so they can be accepted as internal speech and thought events that take place within the visual story of a comic, a part of the pictured scenes. Sometimes narration may be performed internally through the DS and DT of characters as opposed to the use of diegetic narration which would be located externally to a story (see section 7.5 on FIS and FIT). IS and IT are scarce because of the prevalence of DS and DT. DS and DT have dominance over narrator-controlled forms of discourse presentation in comics.

7.7 Free direct speech/thought (FDS/FDT) in comics

Historically, the free direct categories of speech and thought have been treated as separate categories from DS and DT, but Semino and Short (2004: 49) argue that FDS and FDT may be subcategories of DS and DT as they do not claim to be anymore faithful to an original discourse than DS and DT; FDS and FDT present the same discourse content as DS and DT

(see previous chapter, section 6.9). In prose texts, FDS and FDT are identified by an absence of either or both quotation marks or/and reporting clauses:

And then he thought: my life isn't complicated at all. I can see it as clearly as Agnes might. It stretches all the way to early retirement, a whip-round from the people in the office, a bright little neat flat somewhere, a neat little empty death. Except now I'm going to die under the ruins of a cottage during what might just possibly be the end of the world.

(Pratchett & Gaiman 2012 [1990]: 240)

The first sentence of the above extract from Pratchett and Gaiman's *Good Omens* is a DT report lacking quotation marks but starting with a reporting clause ('And then he thought: [...]'). The sentences following are FDT without quotation marks or reporting clauses.

In comics, speech and thought balloons are the equivalent of quotation marks and reporting clauses. The balloons are equivalent to quotation marks and their tails to reporting clauses. Discourse that is presented without balloons or any other kind of reporting frame, where reported dialogue is exposed within a picture, is the free direct discourse (FDD) presentations of comics. It is uncommon though for DS and DT to be presented without reporting balloons or boxes in this manner. DS and DT presentations within balloons or boxes are the norm. Often, when any text is presented without any framing balloon or box, it creates a foregrounding effect and the words may be made to stand out. Take for example the representation of loud sounds which often takes the form of large, coloured and styled words that are not contained within any frame.



Fig. 7.7a (Puckett et al., *Batgirl* #6 (Sept. 2000), pg. 7.)

In figure 7.7a, the sounds of firing guns are represented. The "BLAM BLAM" sounds occur just outside of the picture panel, coloured in red and running vertically. The outer placement of the words indicates the outside source of the gunshot sounds. Because the sounds of gunshots are being represented here, readers may associate the red colouring of the words with death and danger. And the large font size of the letters conveys the loud volume of the sounds. The lack of a frame around onomatopoeic words such as these allows them to be larger and longer in size. And the audio nature and volume of words representing sounds are highlighted by the absence of a balloon or box. Though it is not discourse but sounds that are being addressed here, this is a demonstration of how speech or thought could be presented in a free direct form in comics and how FDS/FDT without framing balloons or boxes might be perceived by the reader as more audible than common presentations of DS/DT contained within balloons and boxes. I will now discuss some examples of freer forms of DS and DT in comics.



Fig. 7.7b (Breathed, *Bloom County: The Complete Library Volume Two: 1982-1984* (2010).)

Figure 7.7b contains panels from a 1980s American comic strip called *Bloom County*. They display a simplified form of DS presentation with no speech balloon encircling the reported speech, but a line tail to link the speech to the character speakers. This could be considered a type of FDS due to the absence of balloons, though the line tails linking the dialogue to characters are equivalent to reporting clauses thus creating FDS with reporting clauses. There is no reporting line tail in the final third panel between the sound of "Phewph!" and the character producing it though. Onomatopoeic words representing sounds are often presented freely in comics without reporting balloons or boxes. This enhances the audio effect of the sound words. The lack of a reporting line tail in the third panel distinguishes the sound of "Phewph!" from normal speech, highlighting it as another kind of noise and emphasizing its audio nature.



Fig. 7.7c (Breathed, *Bloom County: The Complete Library Volume Two: 1982-1984* (2010).)

Also from the *Bloom County* comic strip, figure 7.7c demonstrates examples of FDT. Instead of linking line tails, there are small thought balloon bubble tails between the discourse text and the character-producer in the first three panels. These thought balloon bubble tails could be translated into the reporting clause of 'he thought'. But the absence of thought balloons around the DT text makes them free direct in form. Without the linking thought bubble tails, the DT text could easily be read as DS presentations. The lack of thought balloon frames means the reporting thought bubble tails are the only indication that the text are DT presentations.

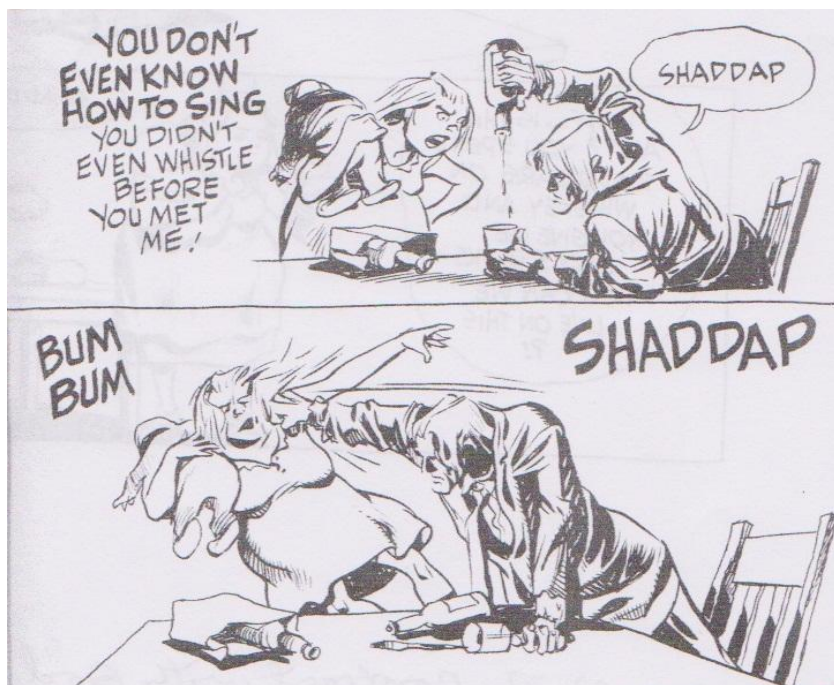


Fig. 7.7d (Eisner, *The Contract with God Trilogy* (2006), pg. 85.)

Figure 7.7d displays an instance of FDS. The speech presented without speech balloons ("You don't even know how to sing...", "Shaddap") produce the effect of being louder and more forceful in tone than the one instance of DS presented within a speech balloon on the right side of the upper panel ("Shaddap"). These FDS presentations become similar to the representation of sound in the top left corner of the lower panel ("Bum Bum") in that they are unframed. So in this example, the purpose for presenting DS freely without speech balloons

is to enhance the volume and force of the speech, distinguishing it from the normal lower volume and tone of common DS. The larger size and emboldening of some of the FDS text also emphasizes the louder and more forceful effects produced by them. Free direct presentations of speech like the ones here are closer in form to representations of sound that often occur freely without frames. The result of this is that aspects of sound are enhanced in these FDS presentations.



Fig. 7.7e (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Vol. 29* (2011), pg. 77.)

The sound of laughter is presented in free direct form without any speech balloons in figure 7.7e. The use of free direct presentation here avoids the need to point to the various sources of laughter which is arising from more than one person. If the laughter had been presented within a speech balloon, it would have had several tails pointing in many directions to the multiple laughers. And as well as avoiding the use of a multi-tailed speech balloon, the free direct presentation here produces effects of volume and combined voices, making the laughter seem louder, clearer and potentially coming from more unseen sources over a wider area.



Fig. 7.7f (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Vol. 29* (2011), pg. 91.)

Figure 7.7f presents low growling in a free manner. The vocal sound of "Grr..." is presented freely without a speech balloon. It is positioned close to the side of the masked character's head in a vertical line, the letters narrowing and decreasing in size as they go down. As a result of this, the growling sound is given the effect of rising from the angered character and because of its vertical line presentation and proximity to the side of the character's head, it works with and reinforces the meaning of the wobbly line vibrations close to the side of the character's head which indicate the character to be shaking with anger. The small size of the letters is indicative of a low volume and their decreasing size (starting from the 'G' at the top to the 'r...' at the bottom) indicates that the growl is falling in volume (volume is indicated by analogy with text size). Free direct presentation of the vocal sound here allows it to be brought nearer to the character and to be presented in an unconventional vertical manner to produce and enhance effects of anger. Figure 7.7f shows how free direct presentation can be more useful than direct presentation in balloons for conveying effects and meanings through visual indicators as they allow more freedom in the way that discourse or sounds are presented.

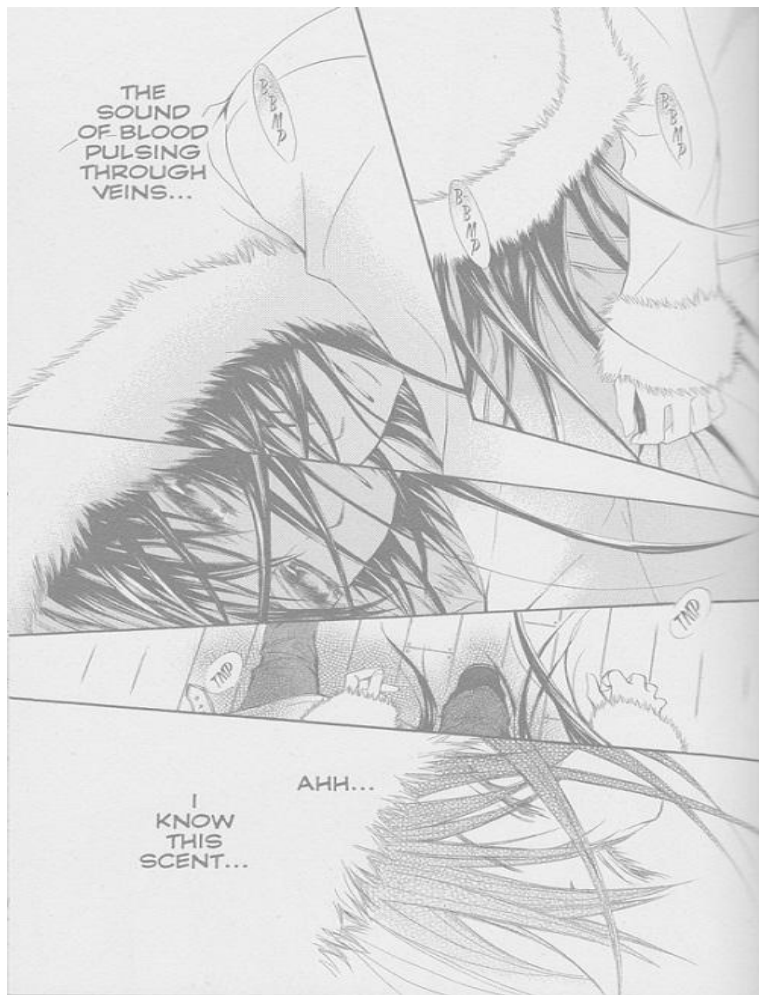


Fig. 7.7g (Hino, *Vampire Knight Vol. 13* (2011), pg. 57.)

Figure 7.7g is a page from another translated Japanese manga comic. Note that the text is read from right to left in Japanese manga. FDT is exemplified here as the discourse text is presented without any thought balloons or thought bubble tails. The use of first person pronoun 'I', present tense ("I know[...]"), a proximal demonstrative determiner ("[...]this scent...") and speech-like sounds ("Ahh...") indicate the text to be discourse rather than narration. The sensory perceptions of a female vampire character (named 'Yuki') are being emphasized here, "The sound of blood pulsing through veins..." evoking her sensitive hearing and "I know this scent..." evoking her sense of smell. As Yuki gradually regains consciousness whilst being carried over the shoulder of a male friend in these panels, she is hearing the sound of and smelling the scent of his blood. The use of FDT in figure 7.7g seems

to signal a submersion into the thinking character's mind and thoughts. It highlights the intimate and personal nature of the thoughts. Yuki's DTs are presented in an unrestricted and open manner, producing a sense of the freedom and space of her private cognitions. And they could be read with an effect of internal echoing, conveyed by their uncontained free direct form which enhances the audio qualities of the thoughts. Effects of timelessness and no boundaries may also be created by the unbounded free direct form of Yuki's thoughts. So presenting Yuki's DTs in free form serves several functions: to indicate entry into the inner domain of her mind, to open up her private thoughts to us, to make her thoughts more intimate and personal, to distinguish the thoughts from other types of discourse, and to convey effects of echoing, timelessness and lack of boundaries.

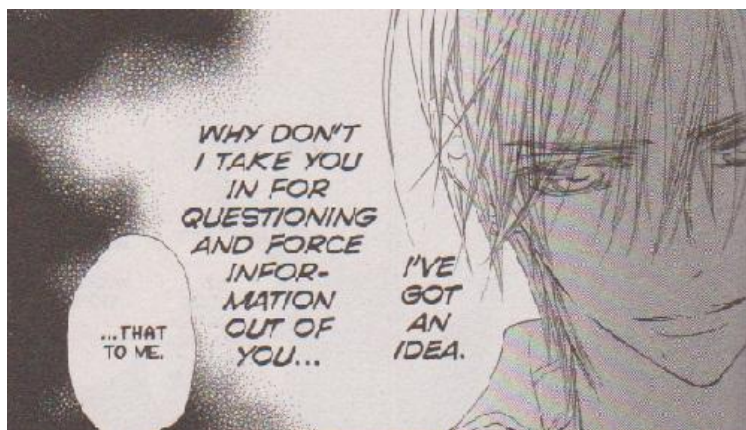


Fig. 7.7h (Hino, *Vampire Knight Vol. 13* (2011), pg. 137.)

Figure 7.7h displays an instance of FDS. The DS of the character depicted on the right (named 'Zero') is presented freely without a speech balloon. The FDS text is also presented in a slightly larger font size from regular speech and is in bold. The free direct presentation, increased font size and use of bold foregrounds the speech and emphasizes it to create effects of strength and force which convey the 'illocutionary force' (Austin 1962) of a threat. This threatening 'illocutionary act' is delivered in the form of an interrogative 'locutionary act' (as a rhetorical question: "Why don't I take you in for questioning and force information out of

you...") (Austin 1962). Zero is intimidating someone in an attempt to coerce that person into giving him information. The speech here is in fact being presented from within the recollection of another character called 'Aido'. Aido is relating his recent experience of being captured by Zero and in this panel directly reporting something threatening that Zero said to him. The free direct form of the DS enhances the impact of the words, strengthening their paralinguistic features (pitch, volume and intonation) to produce effects of emphasis and force. The free direct form also distinguishes this speech presentation from usual presentations of DS in speech balloons, making it stand out in comparison. This FDS apparently stands out strongly in Aido's memory. Its free unframed form gives it a greater effect and makes it seem more imposing. So the free direct form here is conveying Aido's perspective and impression of Zero's threatening words, emphasizing their unnerving force on and scariness for Aido. Also, the use of FDS perhaps automatically brings up the situation from which it originates; the time, place and original speaker of the DS are required in order for a free direct presentation of speech to make sense. The FDS here brings the scene back to the moment it was uttered by Zero, moving out of Aido's recollective report into the past briefly. The FDS thus becomes more vivid and closer in effect as a result.

FDS and FDT foregrounds DS and DT by unbinding them from reporting frames. The absence of balloons and boxes visually deviates FDD from DD in balloons and boxes. Because of this visual deviation from common DS and DT in balloons and boxes, FDS and FDT are useful for creating and enhancing effects, such as volume, impact and force. The frequency and uses of FDD may differ between Japanese manga and Western comics. FDD presentations may be more common in manga with FDS being used to highlight some cases of DS and FDT sometimes being used more than DT in thought balloons in some manga titles. FDD may be used for conveying more than prosodic effects (like volume, emphasis, tone, etc.) in manga too. FDS and FDT might also be used to convey abstract effects in

manga, like access into minds, intimacy and timelessness. The use of FDD in manga comics is something that requires more investigation though.

7.8 Summary

My intention for this chapter was to test the applicability of Leech and Short's (1981) speech and thought presentation scales on comics. I have done this by searching for and identifying instances of each of the speech and thought presentation categories from comics. Some of the categories, such as DS and DT, were common in my comic data and thus easier to come across; other categories, such as IS and IT, were harder to find examples of from comics due to their scarcity. The frequency of DS and DT that I observed in my comic data indicates to me that direct forms of discourse presentation are the most commonly occurring in comics. Indirect forms of discourse presentation (IS/IT), on the other hand, seem to be a rare occurrence in comics as I was unable to find any examples of them from my data. There were some occurrences of the other speech and thought presentation categories (NPV, NPT, NPSA, NPTA, FDS and FDT) in my data too, though these did not appear to be as common as DS and DT. Free direct presentations of speech and thought (FDS and FDT), though not as common as DS and DT, seemed easier to come across in my data than NPV, NPT, NPSA and NPTA. FIS and FIT presented some difficulty in how they were identified in comics. They were not immediately obvious because of the lack in use of indirect forms of discourse presentation in my data, so initially, they seemed to be another absent form of indirect discourse. But further analysis of discourse presentations in my data revealed some forms of DS and DT that did not seem to be strictly direct because of linguistic indicators of narrator interference within their verbal content. Like FID, these DS and DT forms appeared to possess the dual voices of both the character and the narrator. Occurrences of these 'narrator-

influenced' forms of DS and DT were not so difficult to find in my data, but their frequency seemed erratic, more common in some comics than in others, and thus this was a hard discourse presentation category to assess.

Overall, the apparent frequency of direct forms of discourse presentation (DS, DT, FDS and FDT) and the lower frequency of the narrator-mediated categories of Leech and Short's scales (NPV, NPT, NPSA, NPTA, IS and IT) in my data suggests that there may be a preference for unmediated direct forms of discourse presentation in the comic medium, whilst narrator-mediated forms of discourse presentation are minimized in use. The frequency of direct forms of discourse presentation and infrequency of narrator-mediated forms in comics may be because comics, being a highly visual and mimetic medium, are better served by mimetic forms of discourse presentation than diegetic forms. The types of discourse presentation found in comics reflect the visual, mimetic nature of comics. Direct forms of speech and thought presentation are considered mimetic (as they claim to present speech and thought faithfully in their original form) as opposed to the narrator-mediated forms which are diegetic (as they are narrator reports of speech and thought that do not claim to be accurate to the original discourse).

Though I have found the categories of Leech and Short's discourse presentation scales to be applicable to comics, they do not account for all instances of speech and thought presentation that occur in comics. Because direct discourse is the most common form of discourse presentation in comics, its use and forms have been expanded. What I have termed as non-verbal balloons and internal, external, narrator-influenced and visual types of DS and DT will be discussed in more detail in the following chapter.

Chapter 8: Types of Direct Speech and Direct Thought in Comics

8.1 Introduction

This chapter will address the last three research questions in the introductory chapter:

3. Does the narrator ‘interfere’ in the presentation of character dialogue in comics?
4. Are there discourse presentation categories specific to comics?
5. What effects can be generated from the types of speech and thought presentation found in comics?

There are forms of speech and thought presentation found in comics that do not fit into any of the discourse presentation categories of Leech and Short's (1981) speech and thought presentation scales, such as visual presentations of speech and thought which use pictures and symbols to represent dialogue and types of direct speech (DS) and direct thought (DT) that seem to be influenced by the words or knowledge of a narrator (DS or DT possessing narrator interference). These comic-specific forms of speech and thought presentation require their own categories of discourse presentation. In this chapter, I will propose new additional types of DS and DT for comics. These new types of DS and DT are sub-categories or variations of DS and DT. As I explain each of these new DS and DT types, I will also explore some of the effects that can be generated by them. Before I discuss these DS and DT types for comics though, I will address another phenomenon in comics that is not adequately accounted for by Leech and Short's speech and thought presentation scales: non-verbal balloons, where no verbal discourse is being presented and only symbolic punctuation marks are used in speech balloons. I will also address the similarities between internal narration and DT in comics which can often make them interchangeable.

Comics, like films, are a visual medium and they tell stories primarily through images and sounds. Sounds are represented in comics through words. Speech is the most frequently represented sound in comics in the form of DS presentations. DS in comics is commonly presented within speech balloons attached to characters and like DS in prose texts claims to be an accurate representation of the words spoken by a character. But unlike in prose texts, there is almost exclusive emphasis on DS in comics as the main form of speech presentation and there can be more types of DS in comics than one. DS broadens in its purposes and forms in comics.

IT is the norm for thought presentation in prose texts according to Leech and Short (1981) (see chapter 6, sections 6.2 and 6.6), but in comics, indirect forms of thought are rare. Thought presentation in comics differs from in prose texts because of the more frequent use of DT in comics. Without the narrator evidently mediating the report of thoughts, thought presentations become similar to speech presentations in comics; the direct form is predominant and thus the apparent quantitative norm for both speech and thought presentation in comics, as a result, thought presentations become mimetic like DS presentations by the use of DT. DT provides another private voice for characters which can display speech-like qualities, such as colloquial and informal language and paralinguistic features such as emphasis of words (indicated by the use of bold).

The focus of this chapter will be on the different forms of DS and DT that can be found in comics. As has been observed in the previous chapter, direct forms of speech and thought are the most prominent type of speech and thought presentation in comics, at the expense of other categories from Leech and Short's speech and thought presentation scales. Most of Leech and Short's speech and thought presentation categories are of limited use in comics. The narrator-controlled forms of speech and thought presentation (NRS, NV, NRT, NRSA, NRTA, IS, IT) are scarce in written form and may be conveyed most often through

images. Due to their prevalence, DS and DT have been used in a variety of ways in comics, widening the uses and effects of direct discourse in this multimodal medium. The simple categorisation of DS or DT is not detailed enough to describe and encompass the variety of ways that DS or DT are expressed in comics. More than one form of DS and DT has developed in comics, including the narrator-influenced and visual forms. In this chapter, I discuss non-verbal balloons (section 8.2) followed by four types of DS and four types of DT in comics: internally-located DS (IDS) (section 8.3) and DT (IDT) (section 8.4), externally-located DS (EDS) (section 8.5) and DT (EDT) (section 8.6), narrator interference in DS (section 8.7) and DT (section 8.8) and visual representations of DS (section 8.9) and DT (section 8.10). The difficulty in distinguishing internal narration from DT in comics will also be discussed (section 8.11) before concluding the chapter with a summary (section 8.12).

8.2 Non-verbal balloons

Balloons in comics may not always be used for discourse presentation. The contents of speech balloons are usually but not always spoken and verbal. There are instances of speech balloons containing no verbal language and only punctuation marks. No speech occurs in these balloons. They simply present character mental states and reactions such as shock, surprise, confusion, and noticeable silences from characters. So these non-verbal balloons are not presentations of DS, despite using speech balloons; they are visual ways of indicating mental and emotional states and responses and emphasizing silent behaviours by using punctuation symbols.

In these cases, the speech balloon serves to link the symbolically represented mental state, response or silence to a character, and it could be argued to provide an immediate and active effect on its contents. Readers perceive DS in speech balloons to occur progressively

in the present time of a scene, in the moment of its reading, as if they are listening to the utterances as they are being spoken. The speech balloon creates an effect of present-time immediacy for symbolically represented mental states and silences as well, so that like DS, they are perceived to be happening actively in a given moment too. The speech balloon presents its contents as vivid and dynamic, whether it is being used to present DS or non-verbal mental states and silences. In prose texts, mental states and silences would have to be told and described by the narrator: 'for a while, he said nothing', 'their sudden arrival took her by surprise'. But narratorial reports of internal states, reactions and silent behaviours are not as dynamic and immediate as visual symbolic presentations. Non-verbal balloons in comics integrate wordless mental states into a pictured scene so that they become an active and progressive part of it. A narrator's textual report of character mental states and behaviours often comes from a temporally distanced (in past tense) and external narratorial position, making narratorial reports uninvolved with what they describe and inactive as they are not presently happening.

Following are some examples of non-verbal balloons.



Fig. 8.2a (Goscinnny and Uderzo, *Asterix and Cleopatra* (2004), pg. 28.)

The question and exclamation marks in figure 8.2a above from *Asterix and Cleopatra* are combined together to convey interrogative and exclamative illocutionary forces; the confusion and surprise of Asterix and his company at the table are conveyed. The unexpected

arrival of the soldiers (on the left) with an order to make arrests has surprised the company dining at the table. The order for arrest may confuse them because the reason for it is unknown. The multiple tails linking the non-verbal balloon to the five characters around the table indicate the surprise and confusion to be shared by all of them. The bolding and large size of the question and exclamation marks emphasize and increase the degree of the confusion and surprise that they signify and thus strengthen their illocutionary forces.



Fig. 8.2b (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Vol. 29* (2011), pg. 59.)

In figure 8.2b above from a translated Japanese manga comic, the triple question marks in the balloon on the left indicate an interrogative illocutionary force which conveys the state of curiosity. No speech is being presented in this balloon, just a questioning state of mind. The young female character in the bottom left corner of the picture panel is observing the back of her mask-wearing boyfriend as he goes to remove his rugby shirt. He is due to meet her father for the first time soon (his speech balloon says: "Meeting her father for the first time...") and so we infer that he is changing out of his sportswear to get ready for this. Our (the reader's) interpretation of the man's behaviour is seemingly reflected by the young woman who also wonders if he is getting ready to meet her father. The reader and the female character's points of view are brought together by the perspective offered within the picture. We adopt the

reflected point of view of the woman visually since the angle of the picture is located from right behind her (the back of her head faces toward us in the lower left corner), so that we are looking over her shoulder. We are looking in the same direction as her and thus gaining her visual perspective. This is a case of Simpson's (1993) category B(R) visual narration where a reflector character's point of view is highlighted by a third person narrator (see chapter 4, section 4.3.3). This means that the visual point of view we are offered in figure 8.2b is not the female reflector character's own (first person point of view) but a third person observer's close to it. By positioning us close to the reflector's point of view, we share her perception of her boyfriend and her non-verbal state of curiosity indicated by the question marks.



Fig. 8.2c (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy* Vol. 29 (2011), pg. 78.)

Also from the translated Japanese manga comic *Ultimate Muscle*, figure 8.2c above displays a use of a line of dots to signal an emphasised silence. The effects of highlighting silence from a character through the use of a line of dots in a balloon are to make the silence deliberate and foreground it. Through highlighting in this way, a character's lack of speech may be interpreted as a response or behaviour of choice. A character's foregrounded silence may be seen as mysterious, suspicious, uncooperative, or a sign of uncertainty or unwillingness to talk about something.

If a character's lack of speech is not highlighted in some way, whether by a line of dots in a discourse balloon or by visual emphasis in a picture, then we would assume the silence to be unimportant, un-noteworthy and meaningless. Emphasizing silence with a line of dots is a way of bringing attention to a character's lack of speech. It turns speechlessness into an intended or significant act.

In figure 8.2c, the cowboy character's foregrounded silence enhances the sense of mystery about him. It helps create a sense of unspoken intent and purpose to his presence. Up until the point in the story at which this panel is placed, this cowboy has been a mysterious and silent but noticeable character. His foregrounded silence in the above panel hints at his significance and suggests that he is being quiet deliberately, possibly hiding or up to something.

This foregrounded absence of speech is similar to cases of 'negative polarity' in Nørgaard's (2007) examination of negative polarity in James Joyce's short story "Two Gallants". Negative linguistic constructions, such as 'unabashed', 'did not answer', 'without speaking' and 'did not seem to be speaking', were shown to be loaded with more meaning than possible positive alternative constructions ('bold' or 'daring' rather than 'unabashed', 'was silent' rather than 'did not answer', 'in silence' rather than 'without speaking' and 'seemed silent' rather than 'did not seem to be speaking'). Negative constructions like these make us aware of something that could have been but was not and they can indicate other voices and perspectives at play in a text. Emphasizing a lack of speech from characters rather than saying they were silent or quiet serves to draw more attention and significance to the silence.



Fig. 8.2d (Yudetamago, *Ultimate Muscle: The Kinnikuman Legacy Vol. 29* (2011), pg. 85.)

The single exclamation mark in figure 8.2d above indicates an exclamative illocutionary force of surprise. The jagged shape of the balloon around the exclamation mark and the large size of the exclamation mark convey a greater degree of shock and indicate the surprise to be a big one. Because the character's face is covered by a mask in this example, the use of a non-verbal balloon to convey his surprise is important because we cannot see it from his facial expression.

The examples of non-verbal balloons given above demonstrate how mental reactions like surprise and confusion can be indicated in visual and dynamic ways using punctuation symbols. Balloons in comics can be used to present more than just direct discourse; they are used for presenting some mental and emotional states as well. And the highlighting of silence through lines of dots makes speechlessness a noticeable and deliberate act; it provides another form of non-verbal expression for characters.

8.3 Internally-located direct speech (IDS)

This is the most common type of DS found in comics. It is typically presented within speech balloons inside picture panels, identifying speaking characters with the pointing tail of the balloon. Internally-located DS refers to DS which originates (temporally and spatially) from inside the pictured scene in which it is presented. It is DS that is presented *internally* from

within the fictional world of a story. It is located *within* the current time, space and events of the picture panel that it appears in and the speaker of the DS can usually be seen in the picture. IDS are speech acts perceivable by other characters. We see them as they are being uttered by characters in the pictures of comics. The content of IDS often contributes to indicating what is happening in a picture and the developing dialogue of characters advances a story.

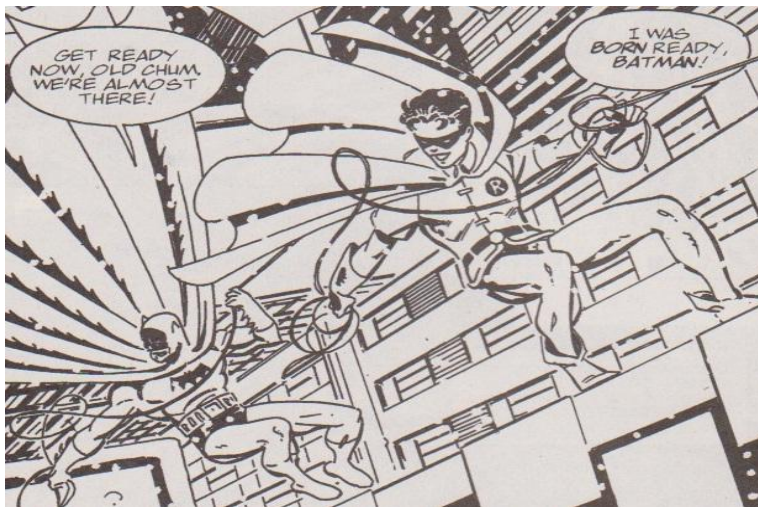


Fig. 8.3a (Byrne, *Batman: Black & White* (Apr. 2000), pg. 1.)

The speech of figure 8.3a demonstrates IDS. Visual factors like the use of bold and italics, font type and size, colours and the shape of the speech balloon indicate paralinguistic features in IDS, such as emphasis, volume and intonation. And as discussed in chapter 7 (section 7.7), free direct presentations of speech without speech balloons can also occur. These visual markers help to enhance the audio aspect of DS presentations, conveying sound effects and thus indicating how the speech would sound. In prose texts, the paralinguistic features of DS can only be conveyed through textual means, such as reporting verbs, exclamation and question marks, capitals, bold and italics.



Fig. 8.3b (Weisman et al., *Gargoyles: Clan-Building Volume Two* (2009), chap. 11, pg. 20.)

Figure 8.3b demonstrates visual ways in which the presentation of IDS can be altered to produce effects. Examples of FDS are seen in the battle cries "Death to the tyrant!!" and "Death to the Grim!!" which are presented freely without speech balloons. This helps to generate the impression of these battle cries rising from several indeterminable sources in the armies of men and enhances the perceived widespread volume of the cries. The FDS presentations here are presentations of the voices of numerous unseen men. The contrasting blue and brown colours of the words identify the two opposing armies from which they come. The jagged speech balloons containing the declarations of "For Scotland!!" and "For the King!!" also indicate loud, charged voices, but they come from single characters that are viewable in the pictures. Whereas the tail of a speech balloon containing DS acts like a reporting clause and identifies a specific speaker, FDS without a speech balloon lacks a reporting tail and so is not necessarily tied to a specific speaker. A lack of speech balloons in comics can give rise to the same kind of confusion as a lack of reporting clauses in prose texts, where we may lose track of who is speaking in an exchange and so become uncertain of who is saying what. But despite their differences, both forms of DS, DS and FDS, are

internally-located within the world of a pictured scene, uttered by characters somewhere within the scene.

The use of visual features to indicate audio effects (colour, font size and type, speech balloon shape, etc.) and the presence or absence of speech balloons often will inform us of whether DS is internally-located and occurring as a part of the events in a pictured scene. The visual expression of IDS is important for conveying sound effects and so the emphasis of audio aspects of DS through visual signs is usually an indicator that the DS is internally-located within a pictured scene. IDS is perceivable to other characters in a scene, it can be heard by them. So IDS often finds ways to highlight its audio aspects, a defining trait of IDS. As will be seen in the next section, externally-located DS does not seem to emphasise its audio aspects as much as IDS, perhaps because it cannot be perceived by the characters in the picture it accompanies.

8.4 Internally-located direct thought (IDT)

This is DT that is located *internally* within a fictional story world. It operates within the time, space and events of the picture panel that it appears in and it originates from a thinker within the shown scene. IDT is the most common form of DT in comics. It is typically presented within cloud-shaped thought balloons or caption boxes. Unlike IDS, IDT is non-accessible to and non-interactive with other characters, so it does not directly participate in or affect the events of a story. IDS, which is perceivable to and interactive with other characters, is a visible part of the events advancing a story. The private mental discourse of characters is accessed only by the narrator and the reader; it remains the exclusive personal domain of a thinking character in a story. IDT is a cognitive (thought) act performed by characters and

occurring within a story, but it is isolated from other discourse and is non-intrusive (not directly involved) in the actions, events and interactions of a story.



Fig. 8.4a (Mackie, Romita Jr. and Hanna, *Peter Parker: Spider-Man* #8 (Aug. 1999), pg. 4.)

In figure 8.4a, Peter Parker's (Spider-Man's real identity) IDTs are presented in cloud-shaped thought balloons. The line of three bubbles, gradually increasing in size, travelling from Peter Parker's head to the first thought balloon is the tail of the thought balloon and identifies Parker as the thinker. Like DS, DT occurs in first person and uses tense and grammar relevant to the thinker.



Fig. 8.4b (Puckett, Peterson, Scott and Campanella, *Batgirl* #6 (Sept. 2000), pg. 6.)

In figure 8.4b, IDT is presented within caption boxes, an alternative to thought balloons. The use of first person pronoun 'I' and possessive determiner 'my', proximal deictic determiner

("It's *this* language thing [...]") and pronoun ("[...] hits like *this* [...]") 'this', present tense ("Haven't", "It's"), and the personal knowledge ("Haven't taken hits [...] since I was six.", "It's this language thing Jeffers did.", "Used to know what my opponents would do before they did.") and opinions ("Made it so easy.") of Batgirl identify the text as Batgirl's mental voice. Thought balloons are not required to mark the DT presentations here as the linguistic markers contained in the content of the DT presentations are sufficient enough to identify them as DT. DS is not typically presented in caption boxes (if it is, quotation marks would usually be used) so boxes of text would normally be expected to be either DT presentations or narration. A reason for presenting thought in caption boxes as narration is may be that it creates similarity and thus association between thought presentation and narration. Thought presentation is a narrative concept existing only in fiction that requires the presence of a narrator in order to access and report thoughts, though DT claims to be the most accurate and mimetic and least narrator-mediated of Leech and Short's (1981) thought presentation categories. By presenting thought in caption boxes like narrative text, the narrative nature of and the presence of the narrator in thought presentation are highlighted, creating a visual link between thought presentation and narration and allowing the two to become interchangeable in how they are presented.



Fig. 8.4c (Hino, *Vampire Knight Vol. 13* (2011), pgs. 92-93.)

A non-standard way of presenting IDT is demonstrated in figure 8.4c. These pages from a translated Japanese manga comic show a gradual transition from DT to free DT (FDT). Moving from right to left pages (Japanese manga is read in this direction), the frames encapsulating presentations of thought change progressively from white mist or smoke to sharp angled shapes resembling glass pieces to bright star flashes and finally to an absence of any thought presentation frame. By moving from misty DT on the right page to uncontained FDT in the final panels on the left page, a vampire girl's (Yuki) entry into her partner's (Kaname) mind is symbolised. The initial misty DT signifies Yuki's initial hazy and unclear sight into Kaname's mind. Then the sharp angled DT frames in the top right corner of the left page implicate Yuki's developing clarity into Kaname's mind; a metaphor of looking through

glass or into a mirror is perhaps suggested by the sharp glass or mirror-like shapes of the DT frames. The switch to DT frames resembling bright light flashes in the third central panel on the left page indicates sudden illumination and visibility of Kaname's mind. And the unframed FDT in the final panels on the left page suggest the fall of barriers between Yuki's consciousness and Kaname's mind and the complete exposure of Yuki's mental awareness. The increasing sharpness and clarity of Yuki's intimate mental vision into Kaname's mind is conveyed by this progression of visually metaphoric DT frames across two pages.

Unlike IDS in speech balloons, IDT is not only presented within thought balloons. It appears commonly in caption boxes as well. IDT claims to report the private mental discourse of characters occurring in the story. It is another form of discourse aside from DS through which character voices may be expressed and through which narrative story information may be conveyed. IDT can be speech-like in character voice, but it is distinct from IDS because it is private and non-accessible to other characters. The silent thoughts of characters are available only to the thinking character, narrator and reader.

8.5 Externally-located direct speech (EDS)

Externally-located DS refers to DS removed from its source location and placed in conjunction with another scene. It is DS that is presented *externally* to or out of the fictional world of a story, not from within and thus not involved in it. EDS is usually presented within caption boxes rather than speech balloons to emphasize its externality from the pictured scene that it appears with. It exists *outside* of the time, space and events of the immediate scene it is juxtaposed with, hence it is not perceivable by characters within the scene. But EDS may be internally-sourced from characters elsewhere within the story, from another time and location

in the story world, and often it is linked in some indirect, abstract and meaningful way to the picture that it accompanies.

EDS is not as common as IDS and can seem an unusual way of presenting DS in comics. It presents speech that does not originate from and is not directly tied to a pictured scene, or that is deictically removed from it in some way. It is external to the pictured scene that it accompanies but not necessarily to the story world of a comic; it may still be a speech event that takes place elsewhere within the story, being spoken by a participating story character. By presenting DS out of its original context and placing it in conjunction with another, EDS can produce various unique and creative effects, such as voice-overs, timelessness, echoing voices, memorable words, auditory flashbacks and ironic juxtaposition with contrasting images. It provides a useful way of connecting or contrasting the otherwise unrelated words of one scene with the picture of another in comics.



Fig. 8.5a (Weisman et al., *Gargoyles: Bad Guys* (2009), chap. 2, pg. 9.)

Figure 8.5a (see second page of appendix 4) shows a Japanese gargoyle character by the name of Yama reflecting quietly on his recent past. The pages that come before this panel (see all of appendix 4) are flashback pages that reveal Yama's banishment from his clan. He is a wandering rogue roaming Japan at present. The words in quotation marks in the white

caption box at the top of the panel are the DS of a female gargoyle character called Sora from Yama's flashback in the previous pages. Note that the angled brackets around the words indicate that they are translated from Japanese. Because Sora's DS is taken from its original past setting and presented with an image of Yama in the present, it becomes an example of EDS. The temporal displacement of DS from the past into a scene in the present in this case creates the effect of a voice being heard from memory. Sora's final words to Yama before his departure from his clan are replayed in his memory here. This EDS in effect becomes a direct thought presentation because it is presenting a character's memory of someone else's speech. The external presentation of DS in a caption box here allows for the DS to be viewed as an audio memory of a recollecting character and gives the words of the DS resonance.

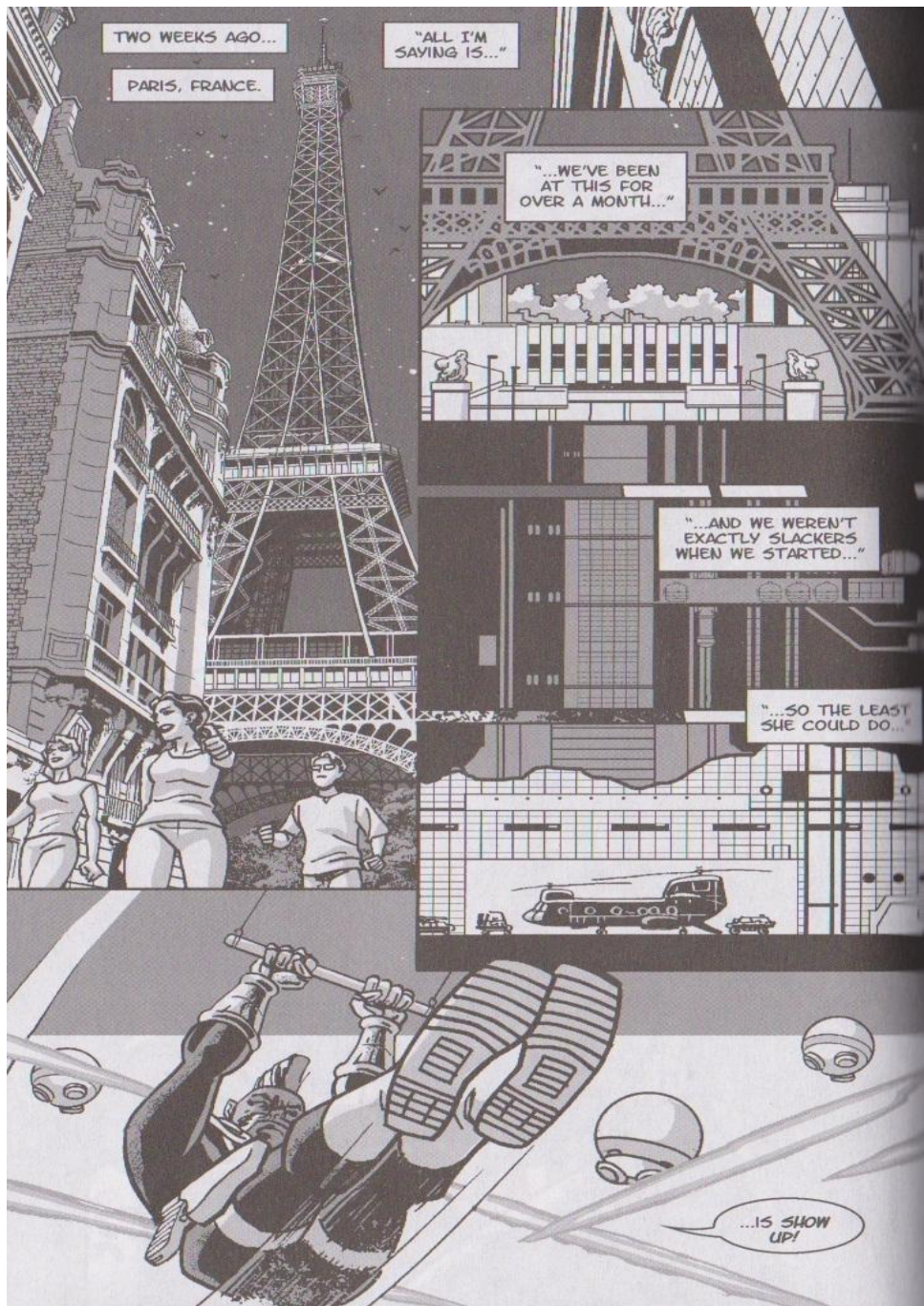


Fig. 8.5b (Weisman et al., *Gargoyles: Bad Guys* (2009), chap. 3, pg. 6.)

In figure 8.5b (see appendix 5), EDS is presented in white caption boxes over the opening images of a location in Paris. The pictures move in from a long shot of the Eiffel Tower in the first left-hand panel to the outside of a nearby building behind the Tower in the second upper-right panel and then inside the building to an aircraft hanger in the third lower-right panel. The last panel that spans the width of the page at the bottom reveals the speaker of the EDS

from the previous panels: a character within the building near the Eiffel Tower. The effect of presenting DS before revealing its speaker is curiosity and mystery about who is speaking. Interest in the reader is generated by presenting anonymous DS in the first panels of a chapter or scene before showing the source of the DS in a later panel. By delaying the revelation of the speaker of DS, we become curious about the identity of the speaker and the voice uttering the DS is mysterious. The use of EDS for this allows a character's speaking voice to be separated from the speaker and presented as a disembodied, narrator-like voice over images. But EDS is differentiated from narration by the presence of DS indicators, such as quotation marks and speech-like features like casual and colloquial language. In pictures where not much is happening in terms of activity and events, EDS can be a way to draw the reader's attention from the start and to show that speech is occurring somewhere as yet unrevealed in the story. This can be a way to begin telling a story before the appearance of any key characters. In the example page above, EDS allows speech to be presented with pictures that serve to visually identify a specific location in Paris, France. Whilst textually, DS is being presented, visually, a location is established; this can occur simultaneously due to the bimodal combination of text and images in comics.



Fig. 8.5c (Weisman et al., *Gargoyles: Bad Guys* (2009), chap. 3, pg. 7.)

Figure 8.5c is from the page that follows after figure 8.5b (second page of the two-page spread in appendix 5). It demonstrates a contradictory combination of EDS and image. As characters from the previous scene discuss the whereabouts of their female team leader, the female character in question (to the left of the picture) is shown to be out walking about in Paris near the popular tourist spot of Notre Dame Cathedral. The ironic contradiction is between the boxes of EDS that claim that the female character has "reasons for her absence" and is "not out sightseeing" and the picture that shows the female character at the sightseeing location of Notre Dame and thus seemingly doing the opposite of what is said about her. Interest and intrigue is created from this contradiction of words and image. The characters of the previous scene deduce that their female team leader, Robyn, also known as 'Hunter', is absent from them for good reason and not for doing something unimportant like sightseeing. The revelation that Robyn is actually at a sightseeing spot prompts curiosity about why this is. She is not a character known for wasting time, so the reader may well expect that there is a

serious reason for Robyn's visit to Notre Dame. And indeed it turns out in the panels following after this one that she is revisiting Notre Dame for personal reasons as it was the site of the tragic and traumatic death of her father when she was young. The use of EDS here enables DS from one setting to be presented against a contradictory picture from another setting.



Fig. 8.5d (Weisman et al., *Gargoyles: Clan-Building Volume Two* (2009), chap. 11, pg. 10.)

Figure 8.5d is the final panel of a sequence. Following immediately after it is a transition to the next scene which is set in another time and place (see appendix 6). The DS in the white caption box at the bottom of the panel originates from the next scene which follows after this panel. It is the DS of a human character located in the next setting. Because this DS is presented externally from its original source setting, it is EDS. It precedes its source setting by appearing in the panel that comes before it (figure 8.5d), acting as an indication of an impending scene-switch and verbally introducing the next scene that follows. The next scene is being signalled before the transition occurs visually in images. But perhaps the more significant purpose for combining DS from the next scene with this panel is to create a contradiction between the EDS in the caption box and the IDS in the speech balloons above it

(which are being uttered by the female gargoyle character 'Demona' who features in the picture). Whilst Demona speaks vengefully about killing all humans in her IDS, the EDS from a human character gives an oppositional view of gargoyles being the saviours of humans. This contrast between IDS and EDS highlights two opposing views of gargoyles (that they are killers and that they are saviours) and creates conflict between them. The contradiction between Demona's IDS and the human character-sourced EDS creates a divide between gargoyles and humans. This contributes to growing tensions about war as the story builds up toward an oncoming battle. Any idea of gargoyles and humans working in alliance in battle seems unlikely and fraught with danger at this point. Later in the story though, it does turn out that the gargoyles do come to the aid of humans in battle. The contradiction between Demona's IDS and the EDS in figure 8.5d helps to make this outcome seem unlikely at this point in the story and thus is useful for creating doubt, uncertainty and suspense.

The above examples of EDS demonstrate the usefulness of presenting speech externally in comics. A range of effects can be created from EDS; it can be used to present past speech as memories and thus as thoughts, enhance the sound of speech, focus attention on speech, create film-like voice-over effects, make anonymous the source of speech/the speaker, and create contradictions between images and text or between IDS and EDS. EDS displaces speech out of one setting into another. It adds another DS 'text world' (Werth 1999) over the visual world of a picture; two worlds are being contrasted: the EDS text world and the visual world that can contain IDS. The EDS text world is distinguished from the visual and IDS world by separate 'world-building elements' (Werth 1999: 180-190; Gavins 2007: 35-52); the time, location and character(s) from which EDS is sourced (which are not visually shown) are not the same as the time, location and character(s) shown in the accompanying picture (which IDS will come from). So EDS and visual IDS worlds are apart and can contradict one another, despite being presented together in the same panel. EDS presents

speech from one world in conjunction with the image of another; two types of worlds, textual and visual, are juxtaposed.

Like presentations of narration, thought and writing in comics, EDS often appears within caption boxes. The text contents of caption boxes are read as being external to a picture or as private to a character in a picture. Text boxes are used to present dialogue, written extracts or narrative information that do not directly interfere with, exist outside of, and do not affect the events and characters in a picture; text in boxes are assumed to be beyond the immediate perception and awareness of characters in adjoining pictures, except for direct thoughts (DTs) which are known only by the thinking characters. Caption boxes thus indicate a world-shift from the visual world of a picture to another text world, whether it be an EDS, DT, direct writing or narration text world.

Presenting DS externally to a given picture is something made possible only by the bimodal use of both words and pictures in comics. The ability to present two story worlds, a text world and a picture world, together within one picture panel is perhaps a feature unique to comics. Two text worlds cannot be presented simultaneously in a similar way in prose texts. The presentation of textual and visual worlds at the same time is a feature enabled by the bimodal combination of text and images together in panels in comics. In prose and in films, only one world, textual or visual, can be presented at a time and a world-switch or scene change would be required to shift between two different times and locations in the prose or film story.

8.6 Externally-located direct thought (EDT)

Externally-located DT is DT which is located *externally* to or outside of a story world. It is DT which is not immediate to the pictorial scene that it is presented with and thus it does not

create the effect of occurring in the time and location of that pictured scene. The presence of the narrator is highlighted in EDT more so than in IDT because its DT does not claim to originate from and occur in the depicted scene it is presented with; it is only by the narrator's intervention that DT can be presented outside of its original source settings. EDT is differentiated from narration though by the presence of DT indicators, such as quotation marks and character voice or speech-like features like casual and colloquial language. The tense and grammar of EDT, like IDT, is relevant to the thinker, so first person pronouns ('I') and possessive determiners ('my') and markers of the thinker's spatial and temporal positioning, such as deictic adverbs 'here' and 'there', time adverbs 'now' and 'then', and the thinker's present and past tenses, would still apply, e.g. 'I didn't like it then and I don't like it now'. EDT may originate from an earlier or later time and place in a story to the scene that it appears in, and thus it brings DT from one setting together with the image of another setting. This means that the tense and grammar of EDT, which are tied to their originator (the thinker) and time and place of origin, are not directly relevant to the visual scene they are presented alongside because they do not originate from that scene. This is DT that is temporally and/or spatially removed from the visual scene that it is presented in, taken out of its source setting and placed in conjunction with another. This type of DT is presented in caption boxes as thought balloons are internally-located and tied directly to characters in pictures; only caption boxes can allow DT to be presented externally to a pictured scene.

EDT is a useful way for providing narrative information and character voices in different scenes without direct interference in them. It can produce voice-over effects in the picture panels that it appears in and become narrative-like in quality. EDT may serve an informative or descriptive function in the pictures that it is combined with or it may have meaningful and abstract relevance to them.



Fig. 8.6a (Puckett, Peterson, Scott and Campanella, *Batgirl* #3 (June 2000), pg. 1.)

Figure 8.6a, the first page of a *Batgirl* comic, consists of a mental recap by Batman of his current investigation involving a man who worked for a criminal syndicate and his young

daughter. Batman's DTs are presented in blue text boxes. The first box of text at the top is IDT as it is presented within the scene from which it originates with the thinking character, Batman, present. The following boxes of text in the black and white picture panels are EDT because they are a continuation of Batman's DTs from the first scene being presented with narratorial scenes visually demonstrating the content of Batman's thoughts. The black and white pictures are scenes from different times and locations to the opening scene featuring the unmasked Batman sitting in his cave; they show the man (Benny Johanssen) that Batman has been investigating, his attempt to hide important information (in the form of a tape) in his daughter's teddy bear, and the visiting of his daughter by criminals. Batman's DTs provide an investigative account of Benny Johanssen which is illustrated by the black and white pictures; they are narration-like in their informative quality. The last box of text toward the bottom of the page overlaps the second-to-last and last picture panels, positioned between them. From the black and white picture of a scene spatially and temporally removed from the first opening scene of the page, the last box of DT moves back to the first opening scene in the last coloured picture at the bottom of the page. The last of Batman's DTs on this page is a transition from EDT to IDT as a result of the DT returning to its original source setting from another different setting. In the black and white pictures, Batman's DTs are externally-located as they do not originate from those scenes; in the coloured pictures, they are internally-located as they are occurring in those scenes.



Fig. 8.6b (Brubaker, McDaniel and Story, *Batman* 591 (July 2001), pg. 11.)

In figure 8.6b, Bruce Wayne's (Batman's real identity) DTs move from IDT to EDT as the pictures move from the present time into a flashback. The DTs contained in white text boxes are happening as Bruce talks to a woman (Mallory Moxon) who has revealed herself to be a childhood friend of his. Bruce recalls where he met Mallory in the flashback image on the right. And as his DTs continue in the flashback, they become EDT since they are not from the past time and place of the flashback. The presence of Bruce's DT from the present time in the flashback image serves to reinforce that the flashback is a memory. The change from present to past tense in the DTs ("[...]I **do** remember[...] ", "...when **was** that summer?") indicates Bruce's slide into recollection of the past.



Fig. 8.6c (Brubaker, McDaniel and Story, *Batman 591* (July 2001), pg. 13.)

Figure 8.6c follows two pages after figure 8.6b from the same comic. It is a continuation of Bruce Wayne's flashback to his childhood with Mallory Moxon. Wayne's DTs in the white text boxes are coming from his older self located in the story's present time where he has just met an older Mallory again. The DTs on this page are therefore instances of EDT as they are DTs from the present being contrasted with images of the past. Accompanied by relevant pictures, the DTs provide a vivid description of Wayne's recollection of a time from his childhood which he had previously forgotten. A narrative voice-over effect is created by the DTs in the pictures that they accompany. Wayne's mental voice acts as external narration to the pictures, describing the flashback images from a temporal location in the future and thus

operating outside of the world of the images. The external location of the DTs in relation to the pictures is what creates their film-like voice-over effect. Wayne's past tense voice overlapping the pictures helps to identify them as flashbacks. In the last panel at the bottom though, Wayne's past tense momentarily becomes progressive in "[...]our lips touching, clumsily[...]". This creates an effect of Wayne vividly reliving that particular moment from his past, describing and experiencing it as if it is happening again. The DTs here are a link back to the present time which they come from and so continue to textually remind the reader of the main present time world as the past is visually recalled in the pictures. Textual and visual worlds of present and past temporal locations are thus juxtaposed.

EDT is demonstrated in the above examples to be useful for allowing DT to be used in a narrative manner. Instead of the narrator's voice, a character's mental voice can be used to communicate story information. A character in the story thus may function as an unwitting internal narrator through their EDTs providing narrative information along with pictures. The need for an external non-character narrator is minimized by the use of an internal story character's voice for narrative purposes. By presenting narrative information in internal and direct forms, the information becomes mimetic and a directly involved part of the story.

Locating DTs externally to pictures allows a character's internal dialogue to be used as a mimetic form of internal narration. In a visual comic story where imagery and direct discourse presentations are the favoured channels through which to tell a story, presenting DS and DT externally to pictures provides a way of using direct discourse to present narrative information relevant to a scene, whether it be signalling a move into a flashback or providing a descriptive summary or account of events.

8.7 Narrator interference in direct speech

Due to the greater use of pictures, comics are not as diegetic as prose texts, and thus the presence of the narrator is reduced in comics in comparison to prose texts. A story is told more through pictures than through the words of a narrator in comics. The comic narrator adapts increasingly to the visual mimetic style of the bimodal medium. The reduction in written narration and thus the narrator's role and evident presence, the use of pictures to visually narrate actions and events, and the emphasis on mimetic DS and DT leads to a lack of indirect forms of speech and thought in comics. This has given rise to narratorial interference in DS and DT instead, producing narrator-influenced forms of DS and DT. In narrator-influenced DS and DT, the speaking or thinking character also becomes an internal character-narrator. In the first person direct voice of a character, narrative information is communicated to the reading audience in a mimetic way. First person narrator and character voices are combined in the form of DS or DT. A character-narrator's voice poses as the speech or thought of a character. Whereas a character's speech or thought is reported by the narrator in IS and IT in prose texts, narration is reported through the DS or DT of a character in narrator-influenced DS and DT. So DS and DT in comics can indirectly serve informative narratorial functions as well as claiming to present the speech and thoughts of characters. It should be noted that narrator-influenced DS can be internally- or externally-located to a picture panel; narrator interference is possible in any DS presentation.

In chapter 7 (section 7.5 'Free indirect speech/thought (FIS/FIT) in comics'), narrator-influenced forms of DS and DT were treated as types of FIS and FIT as they combine narrator and character voices. Narrator-influenced DS and DT could be described as character-presented forms of FIS and FIT due to the fact that they are presented as the DS or DT of characters, using a character's direct voice rather than the narrator's as the channel

through which free indirect discourse is presented. But the presentation of these narrator-influenced types of speech and thought in the same manner as uninfluenced DS and DT within speech and thought balloons (and caption boxes for thought too) suggests that these should be categorised as DS and DT presentations too, despite the narrator interference in them. The use of first person and characteristic language and tense and grammar relevant to the speaking or thinking character in these narrator-influenced forms of speech and thought are also indicative of DS and DT.

Indicators of narrator interference in DS include:

1. Stepping out of character - When a character steps out of the boundaries of what is in-character for him/her and begins to speak out of character. S/he adopts more of a narrator's role or function in his/her DS.
2. Awareness of the audience and the world outside of the story - A character may demonstrate awareness of the reader and the real world outside of the story by addressing the reader directly or making references relevant to the reader.
3. Providing narrative information - A character may provide additional information about other characters and events in the story, such as background information on or insights into other characters and summaries of previous events.
4. Artificial language - When a character's language sounds unnatural for him/her, becoming more invented by a narrator than a faithful representation of his/her spoken words; when some or all of the words of speech do not seem to belong wholly to the character-speaker, but rather may seem to come from the narrator.
5. Implausibility - When the contents of a character's DS become unrealistic, for example, if it is too lengthy and wordy to be an utterance that could have believably occurred in a brief space of time.

The more obvious any of these indicators are in DS, the greater the presence of the narrator in the DS.

Narrator interference may occur less in DS than in DT due to the perceptibility of speech by other characters in a story, the active and direct role of DS in a story's events (the narrator is not usually an active and direct participant of a story, even if it is a character from the story speaking retrospectively about past events), and the greater expectation for accuracy and truthful and faithful representation of speech in DS. Narrator interference is perhaps more likely to occur in DT for the same reason that IT is considered the thought presentation norm in prose texts: because the presentation of thought is an artificial and fictional concept enabled only by an omniscient narrator who can access the private minds of characters, it is more acceptable and plausible for the narrator to interfere in thought presentations. Thoughts are not known to characters other than the thinker and the narrator, so narrator interference in character thoughts would be private from other characters and would not directly affect the story. Narrator interference in DS presentations on the other hand can potentially be heard by other characters and might raise doubts in the reader about the credibility and truthfulness of the speech presented. If the narrator's influence is evident in DS, the words of speech may not seem to be truly from the speaking character; speech may seem unnatural, artificial, implausible, uncharacteristic or manipulated. Narrator interference diminishes the reliability, plausibility and faithfulness of both DS and DT, but its effect on DS is likely to be more noticeable as there is less acceptance for the presence of a narrator in DS and it can cause ambiguity and uncertainty in who the intended target recipient(s)/audience of the speech is: another story character or the reader. The diegetic voice of a narrator clashes noticeably with the mimetic character's voice in DS when combined. Narrator interference challenges DS's claim of faithfulness to a character's original speech; the reported words uttered by a

character may not seem to be entirely his/her own when the influence of a narrator is present in them.

Having reasoned why narrator interference may be less common in DS than in DT though, that is not to say that narrator-influenced DS cannot be found in some comics. Narrator-influenced DS can be used at times to deliberately transcend the boundaries of the fictional world of a story in order to communicate to the reader, sometimes even directly addressing the reader. Comic characters can be made to display awareness of the reading audience at moments during a story.



Fig. 8.7a (Weisman et al., *Gargoyles: Clan-Building Vol. 2* (2009), chap. 10, pg. 23.)

In figure 8.7a, the red gargoyle character on the left (named 'Brooklyn') has time-travelled from 1997 Manhattan back to 997 A.D. medieval Scotland where he has met the Lady Finella (on the right). He reveals to Finella that he is from the future and makes references to modern sci-fi television shows *Star Trek* and *Quantum Leap*. These sci-fi television references seem peculiar and out of place in this medieval past setting and in regards to his medieval female addressee who will have no knowledge of these television shows from the distant future. It is only to the reader that these sci-fi references may have meaning, bringing up the idea of time-travel with well-known sci-fi shows. Brooklyn knows that *Star Trek* and *Quantum Leap* will have no meaning for the Lady Finella, yet he mentions them in his speech. The mentioning of these sci-fi shows might be considered nostalgic references from the comic author, an indication of an external narrator's interference in Brooklyn's DS in order to include modern

sci-fi references which address the concept of time-travel. The DS is not directly aimed at the audience though and so could be considered entirely as Brooklyn's own words and to occur within the world of the story. If this is a case of narrator-influenced DS, it remains, on the surface, directly aimed at a character-addressee whilst indirectly acknowledging the reading audience. The modern sci-fi television references are meaningless to the character-addressee but meaningful to the sci-fi knowledgeable reader.



Fig. 8.7b (Weisman et al., *Gargoyles: Clan-Building Vol. 2* (2009), chap. 11, pg. 13.)

In contrast to figure 8.7a which indirectly communicates to the reader, figure 8.7b addresses the reader directly. In figure 8.7b, the character speaking in the picture, the gargoyle 'Brooklyn' again, is pointing straight at the reader and looking in our direction. He is displaying narrative awareness of the reading audience. The words he speaks could be those of a narrator who is directly addressing the reading audience, but these words are presented as the DS of a character. The narrator interference in the DS of this example is intentionally obvious. It breaks the general assumptions that characters in a story are unaware of the external real world outside of theirs and cannot perceive or communicate to the audience. And it blatantly disregards the boundaries between the character's fictional and the reader's real worlds. By addressing the reader directly, Brooklyn is interacting with the audience and

breaking the illusion of the fictional story world and the assumption that we are unseen observers of it and its characters. The effect of this is to make this panel an out-of-story moment; the DS does not occur within the story world and thus is not considered a part of the story's events. The speaker, Brooklyn, has stepped out of character and is addressing the reader across the discourse levels (from character-character, across narrator-narratee, to author-reader levels; see chapter 2, section 2.3: 'The discourse structure of fictional prose'). This out-of-story effect takes the reader by surprise as Brooklyn's direct address of us is unexpected. This instance of narrator-influenced DS puts the character in the position of narrator and imbues the character with the narrative ability to directly communicate with the audience.



Fig. 8.7c (Gischler and Baker, *Prelude to Deadpool Corps* #5 (May 2010), pg. 1.)

Figure 8.7c is the first page of a *Deadpool* comic which recaps on the story of the series so far. The self-declared 'Headpool' acts as an internal character-narrator (Fowler 1986; see chapter 2, section 2.5) who provides the story recap in DS form through pink speech balloons. Addressing the reading audience directly, he gives a summary of what has happened in the story previously (at the top) and hints at what is to come next (at the bottom left). Headpool is a participant character in the story, yet here he talks directly to the audience and serves a narrative purpose of bringing readers up to speed with the story. He addresses the reading audience directly with second person pronoun 'you' and "mouth-breathers", demonstrates knowledge of his informative narratorial function at the start ("What? You really need a recap page?") and refers to himself and his fellow Deadpool team mates (from different universes) in third person terms ("the team", "the corps", "they're"), except when identifying himself ("That's me"). Headpool's speech here is characteristic of him, but its content and purpose are narratorial. This degree of narratorial knowledge and awareness is unusual in a story character. Deadpool is a Marvel comic book character known by many comic readers for his ability to 'break the fourth wall', meaning he is aware of his status as a character in a comic book and of the audience reading and observing him. In theatre, Stanislavski (1989) defined 'the fourth wall' as an imaginary wall separating the actors on stage from the audience. The rear of the stage is one wall, the sides of the stage are two more walls, and the front of the stage is the fourth wall. Actors are said to be 'breaking the fourth wall' when they look directly at the audience. Generally, actors do not acknowledge the audience overtly (unless they are instructed to for artistic reasons, such as performing soliloquies, or for comedic purpose and effect); they can look at the fourth wall itself, but not at the audience (Aaron 1986: 18). Deadpool's speech frequently 'breaks the fourth wall' by demonstrating narratorial awareness of the reader and his fictional status to comical effect.



Fig. 8.7d (Gischler and Baker, *Prelude to Deadpool Corps* #5 (May 2010), pg. 22.)

Present in figure 8.7d are two cosmic beings with powers over space and time and knowledge of the universe. The cosmic being on the left appears to adopt the role of narrator and draws the reader's attention to a falling meteor ("And so what appears to be an ordinary meteor rushes toward the planet unnoticed [...]"). He speaks in an informative narrative manner, also mentioning the other events taking place in the story at that moment ("[...] as battles rage aboard the enemy ships."). This character-narrator is highlighting a minor but noteworthy story detail: the fall of a meteor toward a planet. Humorously, the second cosmic being on the right expresses confusion over who his companion is talking to, indicating that the cosmic being on the left is addressing the reading audience and that only he, out of the two cosmic entities here, is aware of us. As well as providing the reader with narrative information about a meteor falling toward a planet, narrative influence in the DS of the cosmic entity on the left creates a source of unexpected humour by imbuing the entity with narratorial awareness of the audience which prompts confusion from the entity on the right.

Narrator interference in DS is a useful and efficient way for narrative information to be communicated to the reader in comics. By using a character as an internal narrator who speaks through his/her own DS, the need for a separate external narrator, who would provide

narration through caption boxes, is decreased in a comic story. Narration is made mimetic by presenting it through a character's DS. This suits the visual, mimetic medium of comics. The need for additional textual narration is reduced as narrative information can be communicated through the DS of characters. This frees more space within picture panels as boxes of textual narration are no longer required. Narrator influence in DS can be used to create cohesion between chapters or issues or within a story by making references to previous, earlier or other events; it can be used to recap or summarize the story so far; it can provide reminders of story details; it is a way of talking directly to the reading audience; and if intentionally obvious, it can become a source of humour.

8.8 Narrator interference in direct thought

Similar to free indirect thought (FIT) in prose fiction (see chapter 6, section 6.7), forms of DT that demonstrate interference from a narrator in comics possess traits of both character and narrator voices. But whilst FIT in prose texts typically retains the grammatical markers of the narrator, such as use of third person and past tense, with some of a character's linguistic and lexical features, narrator-influenced forms of DT in comics reverse this by using the grammatical markers of a character's direct voice (the character's first person voice and present tense) and imbuing that voice with the abilities, knowledge and/or role of a narrator (e.g. demonstrating omniscience through knowledge of events of the story and providing story recaps and other additional narrative information about the story and other characters, and addressing or showing awareness of the reader audience). Where FIT foregrounds the voice of the narrator and backgrounds the voice of the character, which creates a form of indirect thought (IT), narrator-influenced DT foregrounds the voice of the character and backgrounds the voice of the narrator, hence why it is a form of DT. Because it is presented

as the character's direct thought (within thought balloons and DT caption boxes), narrator-influenced DT maintains a greater degree of mimeticism than FIT (which is more diegetic due to being an indirect discourse), so it still claims faithfulness to a character's original discourse. Though narrator-influenced DT shares the combination of narrator and character voices with FIT, it is distinct from FIT in how it combines the two voices with the character's voice being more prominent than the narrator's (whereas the narrator's voice acts as the primary base in FIT). Contrary to Pascal's (1977) 'dual voice' theory of free indirect discourse (FID) which promotes the idea that the two voices of the character and the narrator are fused in FID, narrator-influenced DT, in my reading of it from comics, does not so much seem to create the effect of hearing two voices as one, but of increasing the capabilities of one voice, that of the character's, granting it increased powers of narrative omniscience. This is some support for Bray's (2007) reading experiment (see chapter 5, section 5.6) which suggested that readers do not always experience a dual voice effect when reading FID.

Narrator-influenced DT can range from DT which serves narrative purposes to DT that demonstrates narrator awareness. DT may be used as a means to provide extra descriptions or story details that may not be conveyed through pictures, or sometimes DT may seem to move beyond character and internal story limitations and can display the knowledge, omniscience and even audience awareness of a narrator. As with DS, DT offers another discourse channel for narrative information to be communicated through, presented in the form of a character's direct mental voice. This reduces the need for narration in comics as direct speech and thought can be used to convey narrative information at times. The voice of the narrator is thus backgrounded in a mimetic, visual medium.

As with narrator interference in DS (see previous section), indicators of narrator interference in DT include:

1. Stepping out of character - When a character begins to speak out of his/her character and adopts more of a narrator's role or function in his/her DT.
2. Awareness of the audience and the world outside of the story - A character may demonstrate awareness of the reader and the real world outside of the story by addressing the reader directly or making references relevant to the reader.
3. Providing narrative information - A character may provide additional information about other characters and events in the story, such as background information on or insights into other characters and summaries of previous events.
4. Artificial language - When a character's language sounds unnatural for him/her, becoming more invented by a narrator than a faithful representation of his/her verbal thoughts; when some or all of the words of thought do not seem to belong wholly to the character-thinker, but rather may seem to come from the narrator.
5. Implausibility - When the contents of a character's DT become unrealistic, for example, if it is too lengthy and wordy to be a thought that could have believably occurred in a brief space of time.

The more obvious any of these indicators are in DT, the greater the presence of the narrator in the DT.

The presentation of DT in caption boxes as well as in thought balloons makes DT and narration similar in form of presentation, since narrative text is also presented within caption boxes. DT could be considered closer to narration than DS, sharing some of its qualities. Like narration, DT is restricted from the awareness of non-originating characters in a story as thoughts are inaccessible (narration is restricted to the narrator and reader and DT to the thinker and reader). DT is a private discourse unknown to characters other than the thinker, and our access to it is granted only through the narrator's report of it. The ability to report a character's private thoughts directly is exclusive to the narrator; DT is a narrative concept

possible only in fiction. For this reason, thought presentation and narration are linked and it is more acceptable for narrative interference to occur in a character's thoughts than in his/her speech. The presentation of both thought and narration in caption boxes perhaps reflects the link and similarities between them and facilitates their merging in narrator-influenced forms of DT. The similarity between internal narration and DT will be discussed in section 8.11.



Fig. 8.8a (Herdling, Schigiel and Case, *Fast Lane, Part 1 of 4: Media Blitz!* (Nov. 1999), pg. 2.)

In figure 8.8a, Spider-Man's DTs are being used for informative purposes. Background information on the villain Mysterio and the reason for his current rampage in the pictures is given in Spider-Man's thought balloons. The information serves a narrative function and is for the reader's benefit, helping us understand what is happening in the story. The contents of Spider-Man's DTs become less natural and plausible as a result of the detailed narrative information. Thinking in long, detailed and uninterrupted lines of internal dialogue whilst engaged in a physical fight seems implausible and unreal. The explanations of who Mysterio is in the first panel (top left), why he is causing trouble in the third panel (bottom left) and what he has been doing in the fourth panel (bottom right) are more narrator than character-motivated. Spider-Man acts an internal character-narrator through his DTs here. This makes narrative text unnecessary in these panels as Spider-Man's DTs are being used to communicate narrative information. This saves space in the picture panels as there are no narrative caption boxes. And by presenting narrative information as DT, it becomes mimetic and dynamic.

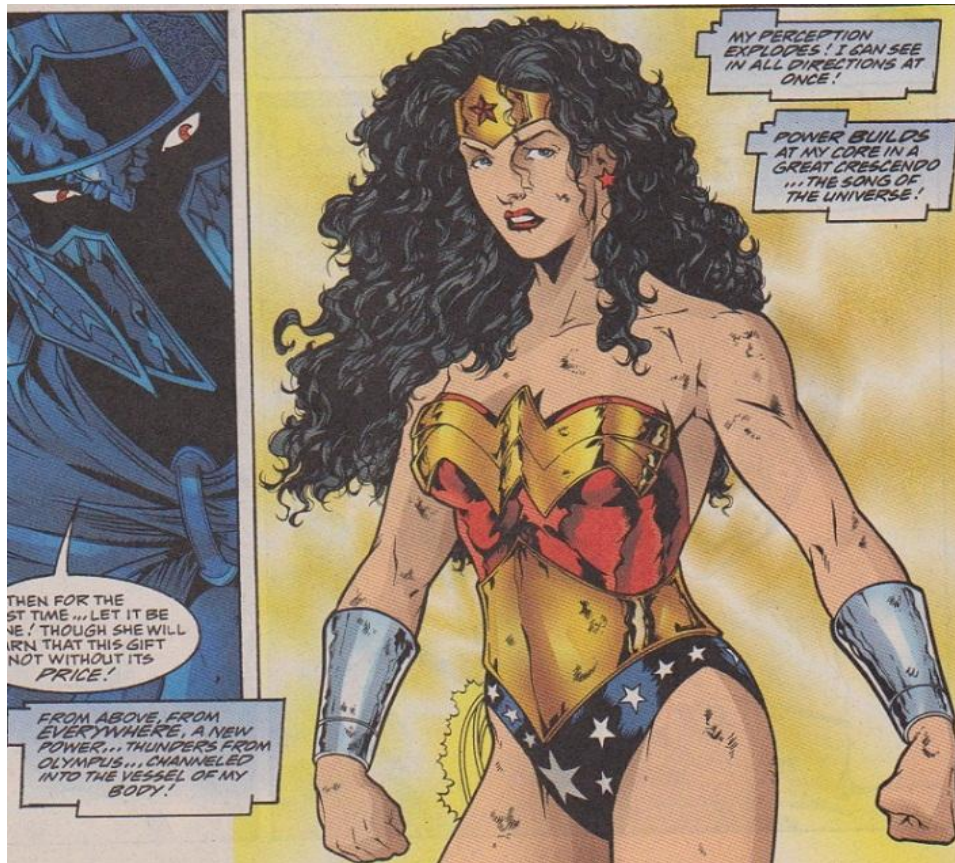


Fig. 8.8b (Luke, Clark, Simmons and Von Grawbadger, *Wonder Woman* #152 (Jan. 2000), pg. 12.)

The blue boxes of text in figure 8.8b contain the DTs of Wonder Woman. But these DTs might also be read as Wonder Woman's first person internal narration. Though the present tense ("My perception *explodes!*") and use of first person ('my', 'I') are indicative of DT, the boxes of text perform a narrative function of describing the empowerment of Wonder Woman's body by the gods of Olympus, which would not be clear from the pictures alone. Wonder Woman acts as an internal first person category A (Simpson 1993; see chapter 4, section 4.3.1) narrator and describes the changes occurring within herself ("My perception explodes!", "Power builds at my core in a great crescendo[...]"). Her internal narration takes the form of DT though. Wonder Woman's DTs provide access into her consciousness to enable her internal experiences to be reported. It is Wonder Woman's internal experiences rather than her thoughts that are being reported here, but presenting this internal narration as

DT gives it a mimetic form. The DT is artificial and unrealistic though as it is unnecessary and unnatural to mentally describe your experiences to yourself. The contents of her DTs are more for the benefit of the reader than Wonder Woman herself. This case of narrator-influenced DT demonstrates the potential interchangeableness of internal narration and DT in comics.



Fig. 8.8c (Gischler and Baker, *Prelude to Deadpool Corps* #5 (May 2010), pg. 3.)

Figure 8.8c features the mental voices of Deadpool (the red figure), a costumed mercenary. The two boxes of text are two separate voices from Deadpool's mind. The yellow box embodies a rational, logical voice of reason whilst the white box presents an opposing irrational, illogical voice of insanity. Deadpool's thoughts frequently consist of these two voices which engage in exchange with one another and which Deadpool often speaks aloud in response to as well. Deadpool is a character known for 'breaking the fourth wall'; he demonstrates awareness that he is a character in a comic book. The DT in the white box ("Sounds like you're cueing a flashback.") anticipates a flashback, a switch to the past, to

come next, so it displays knowledge of existing within a story. Overt displays of narratorial awareness like this are characteristic of Deadpool and they are humorous indicators of his knowledge of being a fictional character in a comic book story. This type of narrator-influenced DT is internally-located, but it displays external awareness of the story, its narration and its audience. Deadpool's narrative awareness extends beyond the boundaries of his fictional world.



Fig. 8.8d (Gischler and Baker, *Prelude to Deadpool Corps* #5 (May 2010), pg. 15.)

Figure 8.8d shows another example of Deadpool's 'fourth wall-breaking' ability. The line: "Meanwhile, on the ship of the mad folk." is delivered not by a narrator as we would expect, but by Lady Deadpool, a female version of Deadpool from another universe, who says it aloud as DS. Delivering this line, which serves a narrative purpose of indicating a switch to another location (scene transition is indicated by the use of the adverb *meanwhile* followed by the identification of another location: "on the ship of the mad folk"), through a character's DS rather than through narration immediately strikes the reader as odd and out of place within the context of the fictional world. This odd line of dialogue is subsequently commented on by the mental voice in the yellow caption box: "Did you just say that out loud?" Ordinarily, a character within a story should not be able to deliver narration through his/her dialogue in this manner as s/he should not be aware of it. It is not a character's role to provide narration, it

is the narrator's. Lady Deadpool's awareness of being a character in a story allows her to comically usurp the narrator's role briefly here. Narrative interference is present in both the DS and the DT here because they demonstrate awareness of narration and how it is normally presented. The deviance from the usual presentation of narration in caption boxes in presenting it through a character's DS here instead is highlighted by the DT in the caption box: "Did you just say that out loud?" The delivery of narration in mimetic form through Lady Deadpool's DS also renders it unnecessary elsewhere in the picture, hence diegetic narration, which would operate outside of the fictional world of the story in caption boxes, is absent. Overt narrative interference is a frequent trait of Deadpool's direct discourse and it grants him his (or in this case, her) unusual and humorous ability to 'break the fourth wall' (demonstrate his knowledge of being a fictional character in a comic story).

As demonstrated in the above examples, narrator interference in DT in comics can occur in varying degrees, ranging from covert to overt forms. The narrator's presence in a character's DTs may be subtle, serving only to provide narrative information in the character's direct mental voice, or it may be obvious to the point of challenging the authenticity of DT and even breaking rules of reality in a story. In narrator-influenced DT, an internal character-narrator interferes in his/her own DT. How effectively the character-narrator blends his/her narrative voice with his/her direct discourse voice can vary. The plausibility of narrative words being the actual words of a character's direct discourse and the amount of narrative content in the DT (or DS) determines the degree of narrator interference. The purposes of narrator interference in DT also vary, from conveying narrative information through a character's internal mental voice to creating narrative effects. The minimizing of additional diegetic narration and the presentation of narrative information in a mimetic form through direct discourse are important space-saving and mimetic storytelling benefits of narrator interference in DT too.

8.9 Visual representations of direct speech

This section looks at visual presentations of DS content. Though written text remains the best way to accurately transcribe and represent the words of speech, the visual nature of comics allows for the possibility of presenting speech and thought in pictorial ways, something that is not possible in prose texts. Pictorial (by pictures) representations of speech content are few and hard to find, but instances of symbolically represented speech content exist. Sometimes, in order to convey a foreign or unknown language or to prevent writing out certain words directly in text, pictorial symbols may be used as an alternative way to represent the content of DS.



Fig. 8.9a (Breathed, *Bloom County: The Complete Library Volume Two: 1982-1984* (2010).)



Fig. 8.9b (Goscinny and Uderzo, *Asterix and Cleopatra* (2004), pg. 19.)

Figures 8.9a and 8.9b demonstrate the use of pictorial symbols for representing DS content. In figure 8.9a, a random set of symbols consisting of shapes, punctuation marks and signs is used in place of a taboo word. The use of symbols can prevent offensive language being written out directly and mature readers are left to fill in the actual words represented by the symbols in their minds. In figure 8.9b, ancient Egyptian language is represented with pictorial hieroglyphic symbols. In this case, the actual Egyptian words spoken and how they sound is not important for the reader to know, only that a different language is being spoken and that a character's pronunciation of the foreign words is poor in the second panel (on the right). The use of hieroglyphic-style symbols and a distorted version of them in the second panel is enough to convey a foreign language and a character's poor attempt at speaking it. The speaker on the left in each of the picture panels, a character known as Obelix, attempts to repeat a native Egyptian speaker's (the smallest character in the middle of the pictures) pronunciation of the Egyptian word for 'talk', but produces an imperfect version of it (in the second right-side panel). This is visually indicated in the second (right) panel by Obelix's inaccurate replication of the DS pictorial symbols from the first (left) panel. The pictorial symbols, which consist of an open mouth and an Egyptian man underneath it in the first panel, are crooked and simplified in the second panel. In the second panel, the open mouth is bent and compressed and the Egyptian man underneath it has been replaced by a simple stick

man. The visual differences between the two sets of DS pictorial symbols represent correct and incorrect versions of the spoken Egyptian word for 'talk'.



Fig. 8.9c (Marz et al., *Mystic #3* (Sept. 2000), pg. 10.)

Figure 8.9c consists of seven panels depicting seven sorcerers wielding magical powers. All of the speech balloons contain unfamiliar visual symbols that represent the content of DS. Through the use of visual symbols in presenting DS, the illocutionary act (Austin 1975) of casting spells through the locutionary act (Austin 1975) of uttering mystical incantations is

conveyed. The locutionary acts (the utterances) are represented visually in the form of invented symbols that signify unknown languages. The perlocutionary act (Austin 1975) of conjuring magic is produced from these spell-casting speech acts (shown in the pictures). The shapes of the invented symbols in the speech balloons are characteristic of the kind of magic that each of the sorcerers wield, for example, the symbols in the green speech balloon uttered by the shamanic sorcerer in the green panel (the third panel down on the left) resemble an arrangement of bones (items associated with shamans); the symbols in the yellow speech balloon uttered by the 'djinn' (Arabic for 'genie') sorcerer in the bottom left panel resemble Arabic writing; the curly, looped symbols in the red speech balloon from a 'tantric' sorceress in the top right panel can be seen as symbolic of sensuality; and the sharp-lined, pointed symbols in the dark purple speech balloon of the top left panel are suggestive of hard, piercing and emotionless language, as opposed to the curved and circular symbols in the lighter purple speech balloon of the bottom right panel which convey a softer and gentler language (in fact, later on in the comic, the sorceress of the bottom right panel comes into opposition with the sorcerer of the top left panel, so the contrast in the visual symbols representing their uttered spells highlights the differences between the two sorcerers). The use of invented symbols in this example represents invented languages and conveys the speech act being performed of spell-casting, and the visual styles of the symbols give clues to the defining themes and characteristics of each of the sorcerers and their different types of magic.

The examples above demonstrate some of the uses of symbolic representation of DS: symbols provide a way of avoiding directly writing out rude or offensive words, but still implying them, and they can signal foreign or invented languages. The essential meaning of an utterance and/or the speech act being performed by an utterance can still be conveyed through symbols. The visual form of symbols, their styles and appearance, may convey some

of the traits of a speaker or provide a sense of what the symbols mean. Distorted, altered or variations of symbols can indicate different, incorrect or awkward utterances or perhaps the state and feelings of a character. Symbols can be used as either an alternative or an accompaniment to written DS. Where DS cannot be written, it may be represented entirely by visual symbols instead. And where single particular words in DS are replaced by symbols, DS can contain both written text and pictorial symbols in combination.

8.10 Visual representations of direct thought

I now move on to discuss visual forms of thought presentation. Unlike prose texts, comics are a bimodal medium that have the potential for visual representation of direct discourse. This is perhaps more significant for DT than for DS. Writing is the most accurate way of transcribing the words of speech, but for thoughts which can occur visually in images as well as in words in our minds, mental pictures can offer a more realistic and mimetic way of presenting DT. Based on my observations of my comic data, visual representations of DT may include memories/flashbacks, visions, dreams, visualisations and imagination.



Fig. 8.10a (Eisner, *The Contract with God Trilogy* (2006), pg. 307.)

Figure 8.10a shows a pictorial DT within a thought balloon. Even though the visual content of the cloud-like thought balloon comes from a B(N) third person narratorial perspective (see chapter 4, section 4.3.2), it still produces a mimetic effect as it provides a visual insight into the mind of the character in the picture; we see what the character is thinking, even if the image is not strictly from the character's own first person perspective and hence not accurate to what the character himself would mentally envision. An absence of words makes visual representations of DT like this silent in contrast to the more common written forms of DT which create a character's internal mental speech.



Fig. 8.10b (Moore and Gibbons, *Watchmen* (2007), chap. 7, pg. 3.)

The picture panels of figure 8.10b alternate between the present and the past. As Dan Dreiberg rushes down into the basement in response to a scream from his female companion Laurie Juspezyk, he flashes back to an earlier warning from his ally, the masked vigilante Rorschach, about the possibility of a killer targeting costumed heroes. This is cause for concern as Dreiberg and Juspezyk are former costumed vigilantes. Dreiberg fears that Juspezyk has become the next victim of the killer when he hears her scream.

The flashback panels are located from Dreiberg's first person point of view which authenticates them as mental images from his memories. The presence of his hand at the bottom of the second panel and his reflection in a mirror in the fourth panel are indicators of Dreiberg's first person perspective. The close up of Rorschach's masked face and the red shading of the last panel also convey Dreiberg's sense of dread and the ominous vividness with which he recalls Rorschach's warning to him.

Unlike written presentations of DT, visual presentations do not have to be confined to thought balloons or caption boxes which would restrict the space of images. Much or the whole of single panels may be used for presenting mental images. The use of thought balloons or caption boxes becomes unnecessary and impractical for many visual presentations of DT as the pictorial content usually is sufficient to identify itself as a memory or some other mental image and because of the limited sizes of balloons and boxes which are designed primarily for containing written words.



Fig. 8.10c (Brubaker, McDaniel and Story, *Batman 591* (July 2001), pg. 14.)

The lower picture panel of figure 8.10c presents a visual and audio memory of Bruce Wayne's (Batman). The trigger for this recollection is the appearance of a man that Wayne instantly recognises (the goggled man in the top panel). In the lower picture panel, Wayne remembers fighting this man whilst in his Batman guise. This picture panel consists of two separate images combined: the memory of a fight takes up the right half of the panel and beside it, on the left, is a close-up view of one of Wayne's eyes. These separate images are joined together by an area of black shading that extends from the shadows of Wayne's eye and face, blending and blurring the borders between the two images. The effect created by the close-up of Wayne's eye is of zooming in toward it and thus bringing the viewer very close to Wayne, within intimate distance of him. Entering into the intimate personal space of Wayne's eye area brings us closer to his internal world (Fowler 1986) (see chapter 2, section 2.5 and chapter 4, section 4.2) and sets us up to enter his mental world. The transition from the external world (Fowler 1986) (again see chapter 2, section 2.5 and chapter 4, section 4.2) in the present time, where the close-up of Wayne's eye occurs, into Wayne's internal world in the past, where his memory occurs, is signalled by the area of black shading that blends the borders between the depicted worlds. The reader's sight moves from Wayne's eye on the left of the panel to the right where the red-shaded memory image is, bringing us from Wayne's

external physical world into his internal mental world. Its intimate proximity to Wayne's eye indicates the red-shaded image on the right to be internally-sourced from Wayne's mind, and the red shading of the image distinguishes it from the other full-colour pictures taking place in the story's present time. The reader interprets the red-shaded image to be a product of Wayne's mind, his recollection of an incident that happened in the past: a flashback or analepsis (Toolan 2001: 43). Though it is a pictorial presentation of Wayne's memory of an event, the mental image is coming from a third person narrator's perspective as we see both Batman and his opponent from an observer's viewpoint. The reader takes this mental image to be a flashback as it does not fit with the current settings where Wayne is not in his Batman costume and is not engaged in a fight with the goggled man. The visual memory is also accompanied by a DS presentation (the speech balloon); Wayne recalls what his opponent had said to him during their fight: "What's the matter, detective? Had enough?" This DS presentation adds to the vividness of the memory; it is a specific detail that Wayne remembers accurately.

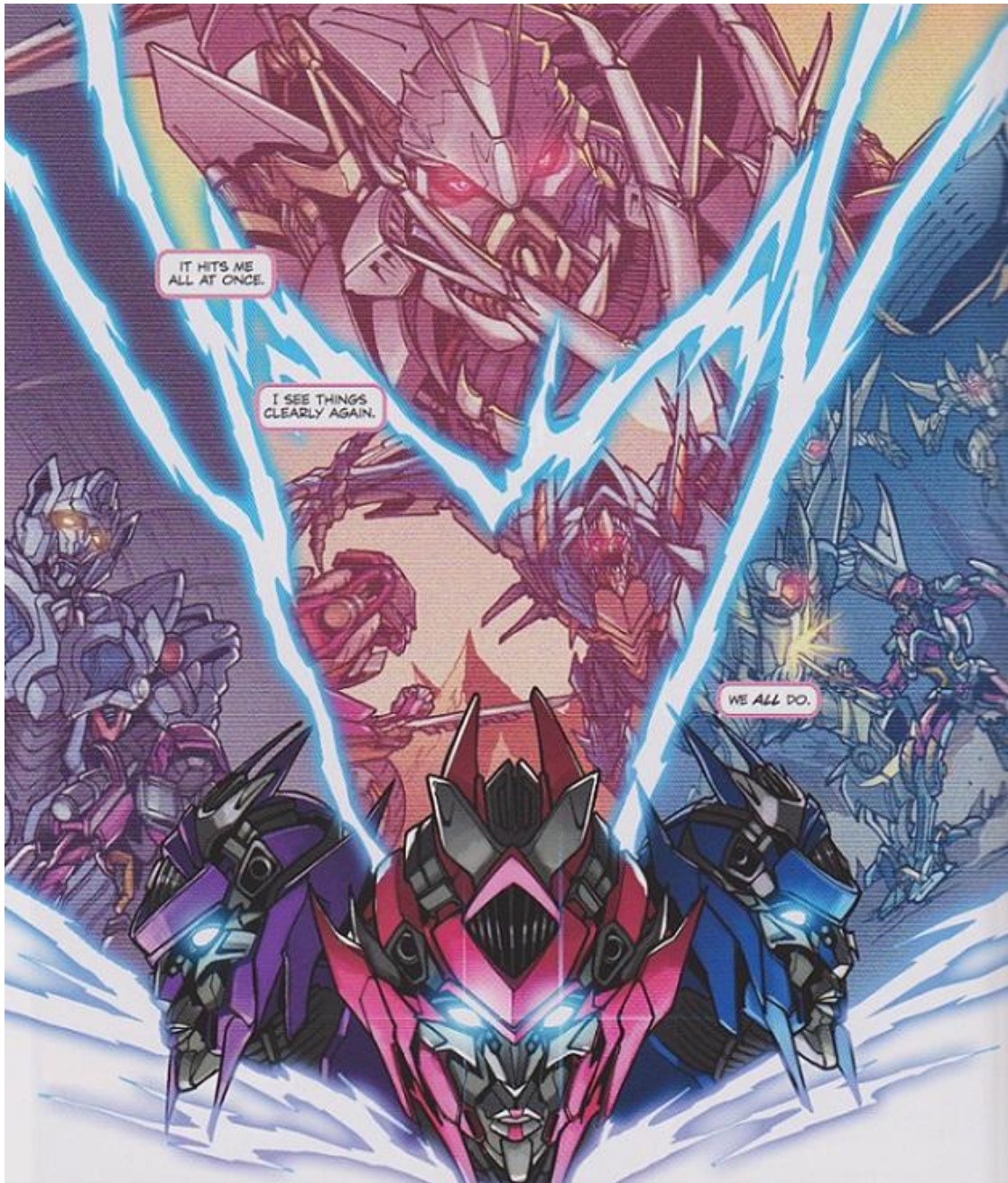


Fig. 8.10d (Mowry and Milne, *Transformers: Tales of the Fallen* #6 (Jan. 2010), pg. 8.)

The story background for figure 8.10d involves the mind of a female robotic alien character named 'Arcee' being split between three bodies in an experiment. As the three bodies are brought to life, they all experience Arcee's memories, demonstrating that they possess a linked consciousness and are essentially one mind split between three bodies, sharing thoughts and memories. The creative visual layout of the flashback images as joined pieces adjacent to one another makes them seem to be occurring simultaneously, and their

attachment to and spreading from the three heads at the bottom indicate them to be mental images from the minds of these three entities.

The multiple mental images do not all come from the same point of view. The image at the very top is from Arcee's first person perspective as she is not present in the picture. It shows her view of the face of an enemy called 'Starscream' as she is looking straight up at him. The images on the left and in the middle are coming from the perspective of Simpson's (1993) narrative category B(R) (see chapter 4, section 4.3.3), a third person reflector point of view. The angles of these images come from narratorial positions close to Arcee's, providing a viewpoint from close behind her, so the back of Arcee (in her original single body) can be seen in the images (the smaller magenta-coloured figure). These two images reflect Arcee's point of view from a narrator's position. The image on the right appears to come from a third person narratorial perspective (Simpson's (1993) B(N) narrative category; see chapter 4, section 4.3.2) as it shows Arcee from a distant position. Her point of view is not being reflected here, only the narrator's; we view Arcee from an external observer's position. The varying points of view used to present the images of Arcee's mental flashbacks demonstrate that visual presentations of DT do not always come from a character's first person viewpoint and thus are not always strictly faithful and accurate representations of visual DTs. Like all other pictures in comics, visual thought presentations can come from character or narrator perspectives. The reader uses scene or world switches, visual cues, written indicators, context and knowledge of past story events to identify images as visual DT presentations.

Though comics offer the possibility of presenting thoughts more realistically in visual form and visual representations of DT often can have more impact and effect on readers than written presentations of DT, pictures require more space than words and they require more time and work from artists to produce, so written DT presentations remain the most efficient and useful form of DT in comics.

8.11 Internal narration or direct thought?

In cases of narrator-influenced DT in comics, narrator and character voices combine to allow the direct mental words of characters to fulfil narratorial functions. This section will demonstrate and explain how the integration of narration and DT presentation, by bringing the voices of the narrator and character together, allows the voice of a character to act as either or both the character's internal narration and/or DT, making it difficult to distinguish between the two at times.

Saraceni (2003) observes that:

Despite their own well-defined spaces, the narrator's voice and the character's voices sometimes intermingle. This tends to happen in cases of monologues or reported thought, which have often the function of informing the reader about certain facts in the story. For this reason, monologues and the presentation of thought are virtually the same thing and are interchangeable.

(Saraceni 2003: 66)

Saraceni states here that thought presentation and monologues often bring together narrator and character voices, making them indistinguishable from one another. This would mean that without thought balloons or visually different caption boxes, there would be nothing else to mark character thoughts from character monologues. Saraceni is claiming that in comics, the linguistic form of thought is the same as that of monologues (which are instances of internal narration). Like internal monologues, thought presentations are a means for internal narrators of communicating their information and knowledge to the reading audience through the voices of characters. Narratorial messages can be contained within the words of characters in thought presentations, thereby combining functions of internal narration and thought presentation together.

An example of the merging of narrator and character voices may be seen in figure

8.11a:

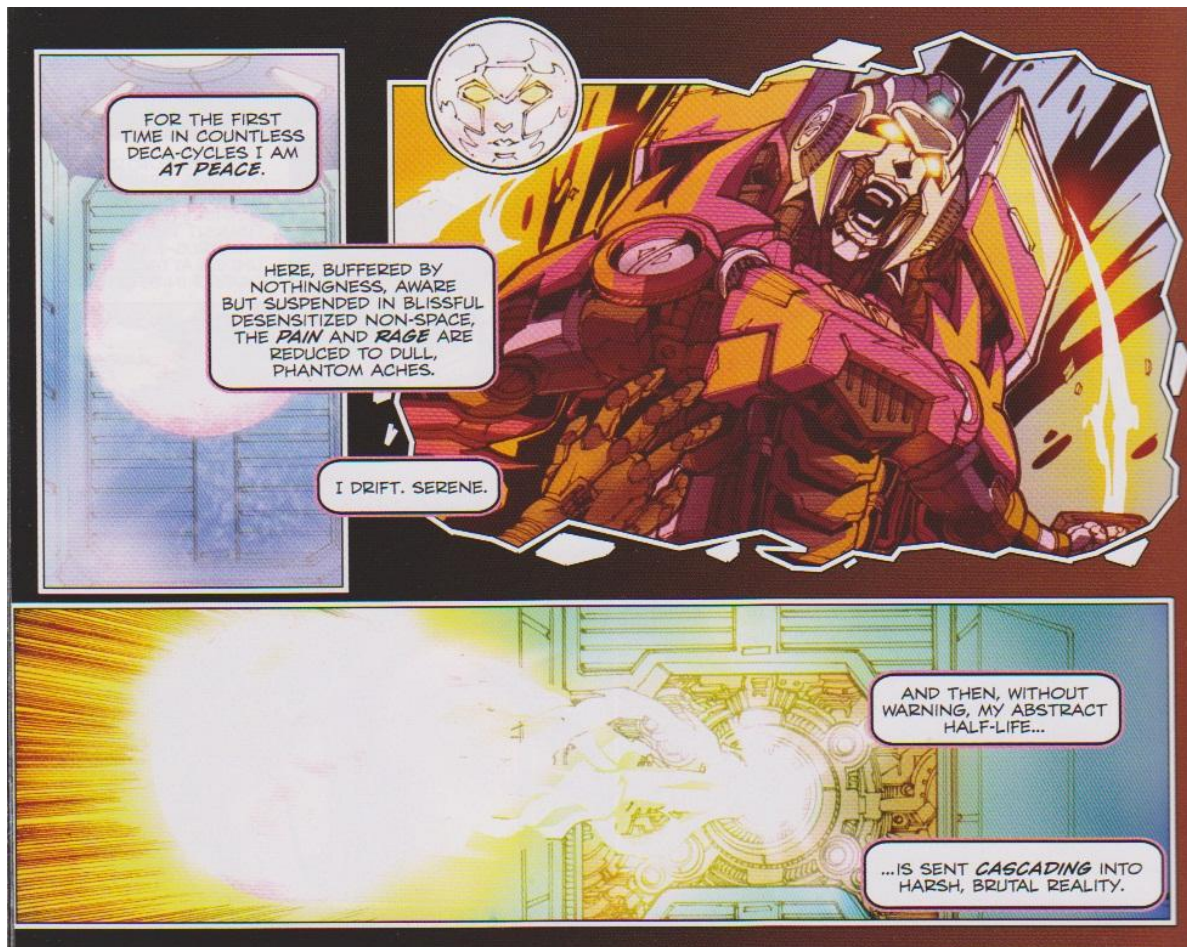


Fig. 8.11a (Furman and Milne, *The Transformers Spotlight: Arcee* (Feb. 2008), pg. 14.)

Words are necessary in figure 8.11a to explain what is happening in the pictures. The reader would have difficulty guessing what was going on with only the pictures of the bright orb and a flashback image of the robotic character Arcee (another incarnation of her different from her form in figure 8.10d). The text indicates that the bright orb is the essence and some of the consciousness of the robotic character Arcee, like her heart or soul (known as a ‘spark’ to readers familiar with Transformers fiction). In the first panel, Arcee’s ‘spark’, her essence, is shown being held within a container. The text describes this containment as a peaceful experience. The second panel, with a wobbled, uneven frame, contains a flashback image of

Arcee in a violent state which contrasts with the small circular image of Arcee's face in her current state of calm at the top left-hand side of the picture. This flashback image is a visual portrayal of the 'pain' and 'rage' mentioned in: "[...]the **pain** and **rage** are reduced to dull phantom aches.". The text and picture of the third panel describes and shows Arcee's spark being taken out of its peaceful containment.

The text accompanying the pictures is important for informing the reader of what is happening in them. Though the present tense ("[...]I **am** at peace.") and proximal deixis (deictic adverb 'here') in combination with the first person 'I' and 'my' of a character are indicative of DT, the text here cannot be treated simply as DT. First person descriptions of activity and state ("I drift. Serene.") serve an informative purpose of telling the reader what Arcee's spark is doing and feeling rather than what she is thinking. The text is thus more than a presentation of DT as it serves a narrative function. Through her direct mental voice which uses first person pronoun 'I' and possessive determiner 'my', Arcee acts as an internal character-narrator who provides the reader with information that supports the pictures. Arcee's internal narration is presented as her DT. She narrates to the reader through her DTs. This example demonstrates how character thought presentations can be used for narratorial purposes. DT presentations and internal narration from story characters can be synonymous when character DT and narrative voices merge.

The merging of narrator and character voices and roles in many cases of internal narration or DT presentation in comics makes them ambiguous and difficult to classify strictly as either narration or thought presentation. One obvious reason for the difficulty in distinguishing thought presentation and internal narration may be that they are often very much alike in form and presentation, more so than narration and speech. Thought presentation, like narrative text, can appear in caption boxes and be constructed and laid out like narration, often placed near the top, bottom or corners of a panel as narration would be.

Like narration, thought does not display features of speech such as pauses, increases in volume and conversational strategies, so it becomes nearer to narration in how its sentences read like lines of written prose. Extended stretches of thought especially would be virtually the same thing as internal narration by a character, the narrative-like text giving narratorial information on situations from the character's perspective and knowledge. Because narration and thought presentation share similarities in presentational appearance (often placed in caption boxes and border positions in the panel) and form of text (prose-like sentences), it is easy to see how they can become interchangeable with one another and be used in similar informative capacities and roles. The use of caption boxes for presenting both narration and thought in modern comics emphasizes the visual and textual similarities between the two types of discourse and increases their capacity to merge with one another.

The text below from a page of a *Witchblade* comic (see appendix 1) provides an example of thought presentation that functions like internal narration:

Two days ago, if I'd known what I know now, I would never have left the precinct. Not because of the hurt, or even because I'm supposed to die down here. Not because of the end of the world... but because of what I see reflected in the eyes of the beast. It knows what I'm afraid of. It knows I went to visit my father's grave tonight before I came down to face my death. It knows what happened. I hear a noise in the recesses of my mind. It's been coming for years... a scream welling up inside me that I've been putting off for too long.

(Jenkins and Ching, *Witchblade* #50 (Aug. 2001), pg. 32.)

This is another example of how narration can occur through the DTs of characters, evidence of the potential for merging internal narration with DT in comics. The text above informs the reader of what is happening in the pictures that it appears with. It is a narration of Sara Pezzini's mental descent into her past, which is visually supported by the progression of her as an adult into her as a young girl in the pictures. The text takes on the form of Pezzini's DTs, but the information it provides serves more of a narratorial function to give the reader access to Pezzini's mind and feelings. The presentation of Pezzini's thoughts is being used

here as a way of providing narratorial information; narration is occurring through a character's DTs.

The present tense ("I'm supposed to die down here", "It knows what I'm afraid of"), proximal deictic adverbs ("here" and "now") and verb ("came down") and first person pronouns 'I' and 'me' and possessive adjective 'my' in the text suggest that it is a presentation of a character's DTs. But the audience-directed and informative nature of the text and its detailed descriptions of character perceptions and mental experiences are more like internal narration. Thoughts are brief and fast to pass through the mind, so the length and detail of the text makes it unnatural and less plausible as Pezzini's actual thoughts. The sentence: "Two days ago, if I'd known what I know now, I would never have left the precinct." is long and elaborate and less believable as a character's DT. It is more like a narrative representation of the character's regret and fear. Another sentence such as: 'I shouldn't have left the precinct two days ago' would have been more believable as a DT presentation. And the sentences: "Not because of the hurt, or even because I'm supposed to die down here. Not because of the end of the world... but because of what I see reflected in the eyes of the beast." are even more questionable as Pezzini's DTs. It is not plausible that she would be explaining to herself in such an extended manner why she is so afraid at that moment. Again, this is more indicative of a narrative style of giving story information. The lines: "I hear a noise in the recesses of my mind" and "... a scream welling up inside me that I've been putting off for too long" are also unrealistic and unnatural as a character's DTs. They tell the reader what Pezzini is experiencing internally rather than reporting her DTs. Exchanging the first person pronouns ('I' and 'me') for third person pronouns ('she' and 'her') and using past tense instead of present tense would be enough to convert these lines into third person omniscient narration:

‘She heard a noise in the recesses of her mind.’

‘A scream that she had put off for too long welled up inside her.’

Pezzini's mental and emotional experiences take the form of her DTs. Her thoughts are the channel for providing internal narration.

Though the text delves into the narrating character's mind and emotions and uses her first person voice, it is not truly a DT presentation. The text represents what is happening within Pezzini's mind but not the actual thoughts going through it. Narration is being delivered here through a character's thoughts, using the character's direct voice to present story information. The character becomes an internal narrator of the story. The text is thus essentially internal narration presented as DT. By presenting narrative information through the DT of a character, the information is made mimetic rather than diegetic, given from the perspective of the character and is placed within the world of the story (by making the text an internal rather than external narration). Narrator interference in DT allows more information and detail to be brought into DT presentations, which would otherwise not always be informative enough to help readers understand what is happening in a story.

Thought presentation lends itself better to narrator intervention than speech presentation as it is an artificial, narrative concept in itself. We do not have access to private thoughts as easily as we do to audible speech. Thought presentation is only possible through a narrator that proposes to have access to the minds of thinking characters, so the presence of a narrator in reporting thought makes it acceptable (as is the reason for why IT is the norm of thought presentation in prose fiction rather than DT). Speech, on the other hand, is more commonly presented in direct quoted form without narrator intervention because we can more easily accept the idea of being able to hear speech without aid from a narrator. So the preference for narrator intervention in thought presentation in order to make it more acceptable creates another possible reason for why narration and thought presentation in

comics are closely linked and can be very similar. Narrator interference in thought presentation does not claim faithfulness to the thought it reports in the way that DT does. Narrator presence in thought presentation allows it to become a narrative tool or vehicle as well as a presentation of a character's thoughts.

Another example of the interchangeable nature of character thought and internal narration and how alike they can be to one another may be seen when fictional journal or diary texts written by characters are presented in a thought-like manner:



Fig. 8.11b (Moore and Gibbons, *Watchmen* (2007), chap. 5, pg. 6.)

Rorschach's October 21st, 1985 journal entry in figure 8.11b is written sometime after the events and activities that it describes and the scenes depicted in the picture panels. The journal's author, the masked vigilante known as 'Rorschach', is what Emmott (1992) terms an 'enactor' (a version of a character at a certain point in a narrative). Rorschach, the writer of the journal entry, is a future version or enactor of himself who is providing an internal narration for the pictures through his journal writing. This internal narration, from a journal entry written in the near future, offers us some of Rorschach's thoughts and gives us an insight into his mind. It is a direct writing (DW) presentation from a text existing in the fictional world and thus it has a greater claim of faithfulness to its source than DT (writing is verifiable, thought is not). Whereas all thought presentation, even DT, require a mediating narrator in order to provide access to minds, writing can be presented without the presence of a narrator as it is widely accessible (written text can be seen and read by anyone). So there is no narrator interference in direct presentations of writing. Within the journal text, Rorschach is the internal character-narrator of his own writing. Though the journal text is not DT, the juxtaposition of the text with the images allows Rorschach's written words to be linked to the scenes they are shown with and they function like his DTs. The present ("He knows nothing[...]", "Russians seem obvious choice[...]", "Can't concentrate.") and progressive tenses ("[...]weighing factors; bodies; motives...", "waiting for a flash of enlightenment[...]"), use of interrogatives ("By whom?"), and first person narration of Rorschach (though he characteristically omits first person pronouns 'I' and 'me' from his speech and writing) make the journal text reminiscent of DT. The only times when we may be reminded that the text is not Rorschach's DT is when the past tense is used ("Left Jacobi's house 2:35a.m.", "Walked home[...]"), indicating that the text is written in retrospect.

Rorschach's written journal entry is an example of his internal narration, but the ease with which it can be read as his DTs when presented with relevant pictures demonstrates the

interchangeableness of internal narration and DT. Rorschach's written voice in his journal writing is believably similar to what his mental voice in DT presentations would be like. Changing the journal text into presentations of DT would only require replacing the torn yellow paper frames around the text (which give the text the appearance of writing from a page) with simple square caption boxes or thought balloons and switching the past tense to present tense. For lines like "Left Jacobi's house[...]", a change to DT presentation ('leaving Jacobi's house') would create a merging of character and first person narrator voices where narrative information is given through the thoughts of characters in narrator-influenced forms of DT. But for other lines like "By whom? Russians seem obvious choice[...]", a change to DT would not require any alteration to their form; they can already be read as DT.

Thought and narration have been treated separately in previous chapters, but distinguishing between DT and internal narration by a character is not always a straightforward and clear task. Internal monologues and DT presentations of questionable authenticity often seem to be instances of narrator and character voices merging to provide narrative information for the story. Narrator interference in DT enables it to be used for narrative purposes and a character's first person internal narration can be presented like his/her DTs. DT and internal narration can become like each other. They are brought together in comics where they often become synonymous and interchangeable.

There are two possible ways to explain the combining of narration and thought in comics. Firstly, thought presentation is a product of narration. Only a narrator with access to the minds of characters can report their thoughts. The inaccessibility of thoughts means that a narrator is required to report them, unlike speech which can be heard. So narrator interference is more common in thought than in speech presentation. This frequency of narrator interference in thought presentation often manifests in comics in the form of narrator-influenced DT which communicates narrative information through DT. DT presentations in

comics are frequently used as channels for narration because their claim of faithfulness is not as strong as that of DS. DT, though the form of thought presentation with the least narrator interference, is easier to accept as a vehicle for narration than DS. And because thought is unverifiable, the narrator has complete control of its presentation and narrator interference in DT is readily accepted as a part of it, even if it makes the DT artificial and undermines its claim of faithfulness. Narrator interference in DS is less frequent because speech, unlike thought, is available to others, so there is stronger expectation for DS to be an accurate report of speech, contrary to the acceptance of narrator interference in thought presentation.

Secondly, thought presentation, like narration, usually exists outside of direct interaction and involvement with the story-world. Where DS presentations in speech balloons are audible to and involved in verbal exchanges with other characters, thought presentations are beyond the perceptions of and interaction with other characters, so they are brought closer to narration by their detachment or externalisation from the events and characters of the story. Thought presentation and narration may fulfil the same narrative functions from similar external perspectives. They can occupy similar positions of omniscience beyond the events of a story, able to discuss the events without participating in them. There are cases of DT which are more actively involved within stories though, such as the mental transmissions of characters with telepathic abilities as they communicate with others through mind-link. In these cases, DT is used as another form of communication by telepathic characters in addition to DS.

So it is easier for narration to be conveyed through thought rather than speech because of the narrative nature and external, non-participating position of thought presentation. Whereas these characteristics of thought presentation promote the IT norm in prose texts, in comics they encourage narrator interference in DT since IT is rare in comics.

The merging of internal narration and thought may be the reason for why caption boxes are used to present thought presentations as well as narration in comics. Because internal narration and thought presentation have become virtually interchangeable in many modern comics, using the distinguishing visual frames of caption boxes and thought balloons becomes unnecessary. Caption boxes can equate to thought balloons and the use of caption boxes for both thought and narration further compounds their fusion and similarities with one another. Internal narration and thought presentation have become nearly synonymous in many modern comics and this is reflected visually in the use of caption boxes for both.

8.12 Summary

Non-verbal discourse in balloons, four types of DS and DT (internally-located DS/DT, externally-located DS/DT, narrator-influenced DS/DT and visual DS/DT) and the similarities between internal narration and DT in comics have been discussed in this chapter.

Symbolic punctuation marks can be used to represent mental states within non-verbal balloons. Question marks are used to indicate confusion or curiosity, exclamation marks can indicate surprise and shock, and a line of full stops indicates a pause or a moment of silence. These punctuation symbols can be combined to convey more than one mental state, for instance, question and exclamation marks could be put together to indicate both confusion and surprise or shock. Aside from representing non-verbal mental states and silence in a simplified visual way with symbols, non-verbal balloons are more immediate and dynamic than written narrative reports of mental states and speechlessness which tend often to be narrated in past tense and externally.

Internally-located DS (IDS) and DT (IDT) are DS and DT that originate internally from within the fictional story world, uttered or thought by the characters within a pictured

scene. This type of DS and DT occurs in the story at the point in time in which it is presented. IDS is perceivable to other characters in the story and may create conversations between characters. But IDT is private and inaccessible to characters other than the thinker. IDS is presented within speech balloons and IDT within thought balloons or caption boxes.

Externally-located DS (EDS) and DT (EDT) are DS and DT which are presented out of their original context and in conjunction with another visual context; they are external to the picture that they are presented with. This is DS and DT that can be sourced from one time and location within the story world and put together with a pictured scene of another time and location. EDS and EDT are presented in caption boxes to emphasize their externality from the scene that they are juxtaposed with. They can be used to create various effects such as voice-overs, words from memory, keeping the speaker or thinker anonymous and ironic juxtaposition with images.

In the narrator-influenced DS and DT of comics, DS and DT can no longer be considered strictly faithful and accurate as narrator interference is present in them. Indicators of narrator interference in DS and DT include: stepping out of character, awareness of the audience and the world outside of the story, providing narrative information, artificial language and implausibility. Using the DS or DT of a character as a channel through which to provide narrative information to the reader allows narration to be conducted indirectly and in a mimetic form. As well as providing narrative information in the direct voice of a character, narrator interference can imbue DS or DT with narrative omniscience, knowledge or awareness where a character may demonstrate external narrative awareness of the story s/he is a character in, his/her fictional status and the reader.

Speech and thought can also be presented in visual ways in comics. DS can be represented by pictorial symbols when the exact content of DS does not need to be known and when simply conveying the speech act being performed by an utterance and its basic

meaning is satisfactory. Taboo and foreign language can be indicated by a set of various marks, signs and symbols. For DT, the graphic presentation of mental imagery is more significant. DT can become more mimetic by the use of images to represent visual thought. But visual representations of DT also give rise to points of view and angles from which pictures may be presented (first person, third person narrator and third person reflector perspectives).

Narration and thought are commonly combined in comics. The inaccessibility of thoughts, the requirement of a mediating narrator (who can access characters' minds) in order to report thought and the weaker claim of faithfulness by DT in comparison to DS make thought presentation more acceptable (than speech presentation) as a source of narration. When narrative information is presented as a character's direct mental voice through his/her (narrator-influenced) DT, it becomes a mimetic form of internal narration and the thinking character becomes a first person narrator. Internal narration is hard to distinguish from DT when first person pronouns ('I', 'me') and possessive determiners ('my') and present tense are used in both.

This chapter has developed Leech and Short's speech and thought presentation scales model generally by proposing additional subcategories for the DS and DT categories with particular relevance to comics. The next chapter, which concludes this thesis, will bring together and summarize all its findings and relate them back to the research questions of chapter 1.

Part Three

Conclusions

Chapter 9: Final Conclusions

9.1 Introduction

In chapter 1, I stated that my intention for this thesis was:

[...]to test the application of three linguistic models of narration and speech and thought presentation on comics: Fowler's (1986) internal and external narration, Simpson's (1993) 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales. By doing this, I would be able to identify types of narration and speech and thought presentation in comics that these linguistic models are used to identify in prose fictional texts. This would help to show that the types of narration and speech and thought presentation which are found in prose fictional texts can also occur in comics.

My aim was to demonstrate the potential for using Fowler's (1986) and Simpson's (1993) models of narration and Leech and Short's (1981) speech and thought presentation model, which were created originally for the analysis of prose texts, to analyze a multimodal text. And by applying these linguistic models of narration and speech and thought presentation to multimodal comic texts, I would be able to observe what types and categories of narration and speech and thought presentation occur in comics.

I tested the application of Fowler's (1986) internal and external narration, Simpson's (1993) 'modal grammar of point of view' and Leech and Short's (1981) speech and thought presentation scales on comics by identifying instances of the types and categories of these models in my comic data. I searched for visual as well as textual examples (in both pictures and written text) in comics of Fowler's (1986) internal and external narration types, Simpson's (1993) narration categories A, B(N) and B(R) and Leech and Short's (1981) speech and thought presentation categories (NPV/NPT, NPSA/NPTA, IS/IT, FIS/FIT, DS/DT and FDS/FDT). What I found was:

- i) Fowler's (1986) distinction between internal and external narration exists in comics, visually in images as well as textually in the written text. Internal and external points of view can be identified in pictures from their visual angles.
- ii) Simpson's (1993) narration categories A, B(N) and B(R) also exist in comics, in both visual and textual forms.
- iii) Not all of the categories of Leech and Short's (1981) speech and thought presentation scales could be found or were common in comics. I found no evidence of IS and IT; visual and textual forms of NPV, NPT, NPSA and NPTA existed, but were few; the classification of FIS and FIT was debatable in some cases; and DS and DT were by far the most frequently occurring categories of speech and thought presentation, with their free direct forms (FDS and FDT) been less common.
- iv) New forms of DS and DT exclusive to comics were identified. They consisted of: internally-located DS/DT (IDS/IDT), externally-located DS/DT (EDS/EDT), narrator-influenced forms of DS/DT and visual forms of DS/DT.

This thesis has been a study of narration and speech and thought presentation in comics, how they occur and what types are used. In chapter 1, I have talked about what comics are and the views surrounding them and given a comprehensive literature survey on them. Chapters 2, 3 and 4 have focused on narration. Chapter 2 has given a background overview of the literature on narration. Chapter 3 has discussed a visual framework for analysing images in comics from Kress and van Leeuwen's (1996) visual grammar. Chapter 4 has applied Fowler's (1986) internal and external narration types and the narration categories from Simpson's (1993) modal grammar of point of view to comics. Chapters 5-8 have

focused on speech and thought presentation, its background literature and identifying the types of speech and thought presentation found in comics. Chapter 5 has provided an overview of literature on speech and thought presentation. Chapter 6 has given a detailed outline of Leech and Short's (1981) speech and thought presentation scales and the subsequent updates to them. Chapter 7 has identified the categories of Leech and Short's scales in comics. Chapter 8 proposes new types of DS and DT that are relevant for comics.

I asked the following five research questions in chapter 1:

1. What kinds of narration can be identified in comics, visually as well as textually?
2. Can Leech and Short's (1981) speech and thought presentation categories be applied to comics?
3. Does narrator 'interference' occur in the presentation of character dialogue in comics?
4. Are there discourse presentation categories specific to comics?
5. What effects can be generated from the types of speech and thought presentation found in comics?

Throughout the course of this thesis, I have answered each of these research questions. I will now summarise my findings for each.

9.2 Research question 1: What kinds of narration can be identified in comics, visually as well as textually?

Addressing the first research question, we need to bear in mind that comics are a multimodal text which communicate stories through a combination of words and pictures, so comic narration operates in both textual and visual ways. To identify types of narration in comics, I

have applied two models of narration to them: Fowler's (1986) distinction between internal and external narration and the narrative categories from Simpson's (1993) modal grammar of point of view. These narration types and categories can occur visually as well as textually in comics. Fowler defines external narration as narration which comes from a perspective outside of any character in a story and internal narration as narration which comes from the perspective of a participating character within a story. External narration often comes from an omniscient third person narrator who is not a participating character in the story he narrates. Internal narration can be in first or third person and is located from the limited perspective of a character-narrator who is a participant in the story s/he is narrating. Textually, internal and external narration can be identified through point of view markers such as personal pronouns (I, he, she, they), verbs of cognition and perception (thought, saw, heard,), evaluative adverbs and adjectives (quickly, unhappily, huge, disastrous), deixis (here/there, this/that, now/then), etc. Visually, they are identified by point of view angles in images. An external point of view in a picture is an invisible camera or observer perspective which cannot be from any character in the story, much like the common camera angles in films which allow us to watch characters and events as outside observers. External points of view are unlimited in where they can be located in a story and what they can show of it. They can offer us anything from bird's eye to close-up views of characters, locations and events. An internal point of view in a picture reflects the viewpoint of a character within the story, essentially allowing us to see through a character's eyes and possessing the restrictions of the character's viewpoint. Unlike an external point of view, an internal point or view is tied to the position of a character and thus is limited in where it can be located in a story and what it can show of it. An internal point of view faces forward in the same direction as a character's line of sight and is often physically located from somewhere behind the character. We thus do not see the face and

front of the character whose viewpoint is being reflected in an internal point of view, unless s/he is looking at his/her reflection in a mirror.

The narration categories from Simpson's (1993) modal grammar of view consist of: category A and categories B(R) and B(N). Category A narratives are first person narratives that come from a character's perspective, category B(N) narratives are third person narratives that come from an outside narrator's perspective, and category B(R) narratives are third person narratives that reflect the perspective of a character. These perspectives can be visually translated in comic panel images from the angles of pictures. A category A perspective provides us with the first person point of view of a character. An example of this is an image viewed through the eyes of a character, allowing us to see only what the character sees. A category B(N) perspective gives us an omniscient external narrator's third person point of view of a scene. It can be located from anywhere in a picture, offering us an invisible observer's unrestricted view of characters, places, events, etc. It can give us bird's eye and close-up views and allow us to see the face and front of characters clearly. A category B(R) perspective conveys the point of view of a reflector character, but through a third person narrator's position. This can be conveyed in images by over-the-shoulder shots where we view a scene from a position behind a character. This spatially positions us near to the character and faces us in the same viewing direction as him/her. So we may see what the character sees, not through the first person point of view of his/her eyes, but from a third person position close to him/her.

The use of both textual and visual narration in comics allows more than one type of narration to occur within a comic panel. Textual and visual narration types work together to tell a story in comics. A combination often seen is an external narrative point of view (Simpson's category B(N)) in pictures accompanied by internal narrative (Simpson's category A or B(R)) text. This provides us with a clear invisible camera view of a scene whilst the text

may offer additional internal narrative details which may not be conveyed in the picture. A visual external view of a character's actions can be combined with a textual internal insight into the character's mind, offering both external and internal narrative points of view in cooperation. The interaction between textual and visual narration in comics can vary though. They can match, differ from, support, influence or operate individually from one another. The degree to which words and pictures are dependent on one another in comics varies, but they always cooperate to narrate a story.

The kinds of narration that can be identified in comics then, visually as well as textually, include Fowler's (1986) distinction between internal and external narration types and Simpson's (1993) narrative categories A, B(N) and B(R). The internal perspective of a character within a story or the external perspective of a narrator that exists outside of a story's world can be conveyed through images as well as in narrative text. First and third person points of view can be conveyed in both images and text, from the visual angle that images are presented from (if the image seems to come from an internal character's first person visual point of view or from an external observing narrator's third person visual point of view) and from the point of view markers present in narrative text (e.g. first and third person pronouns: *I*, *we*, *s/he* and *they*, and possessive adjectives: *my*, *our*, *his/her* and *their*). Simpson's (1993) narrative categories A, B(N) and B(R) can be identified in images and text from the use of a character's internal first person point of view (category A), a narrator's external third person point of view (category B(N)), or a reflector's internal third person point of view (category B(R)). Combinations of visual and textual narration types occur in comics due to the use of both pictures and text in storytelling, so there can be more than one type of narration occurring together in a comic panel (e.g. an internal narration type in text, such as first person category A narration, combined with an external third person category B(N) visual point of

view in an accompanying image). Visual and textual narration types work cooperatively in comics to tell a story, even if they are not of the same type.

9.3 Research question 2: Can Leech and Short's (1981) speech and thought presentation categories be applied to comics?

The second research question attempts to expand on the use of Leech and Short's (1981) speech and thought presentation scales, developed originally for prose texts, by applying them to the multimodal medium of comics. The categories from a 2012 version of the scales were identified in comics: narrator's presentation of voice (NPV) and thought (NPT), narrator's presentation of speech act (NPSA) and thought act (NPTA), indirect speech (IS) and thought (IT), free indirect speech (FIS) and thought (FIT), direct speech (DS) and thought (DT), and free direct speech (FDS) and thought (FDT). NPV and NPT are minimal reports of speech and thought that state only that speech or thought has occurred, but give no indication of the content of the speech or thought. They do not convey speech act value or propositional content. As well as textual NPV and NPT (they were talking, he was thinking), there can be visual depictions of characters talking or thinking without any presentation of what they are saying or thinking too. NPSA and NPTA give a little more information about the speech or thought they report than NPV and NPT. They state the speech or thought act performed (she told him off) and can indicate the topic of speech or thought (he wondered what it would be like). In comics, images of characters engaged in speaking or thinking, without any presentation of what exactly is said or thought, may be supported by earlier and contextual information and visual information offered by facial expressions and body language. From this supporting information, the type of speech or thought being performed by characters in pictures and potentially the topic of their speech or thought may be known or

visually evident. IS and IT are reports of speech and thought paraphrased in the words of the narrator, using the narrator's tense and grammar (he told her to leave, she thought it would be alright). The propositional content of DS and DT is recoverable from IS and IT (DS: "Leave!" he told her, IS: he told her to leave). IS and IT are hard to find in comics due to the reduced presence of the narrator and the preference for mimetic and direct forms of speech and thought presentation. FIS and FIT are reports of speech and thought which combine the voices of the narrator and character. Often, they possess the grammatical characteristics of IS/IT, but some of the lexical flavour and deictic properties of DS/DT (they agreed that it had been a rather rubbish idea, something told her this was not one of her brightest ideas). In comics, because indirect forms of speech and thought presentation are minimal and dispreferred, combinations of narrator and character voices in speech and thought presentation occur in DS and DT presentations instead. Narrator influence can be displayed in DS and DT by the presence of narrative information or traits (information and characteristics or features that do not seem to originate from a character but from the narrator) within their contents (DT: How did I get out here in the middle of a scorching desert? Well, my plane crashed a couple of hours ago. - This informs us about the current situation a character is in (being out in the middle of a desert) and provides background information about how s/he got into this situation (his/her plane crashed). It also seems directed at a recipient more than oneself, indicating narrative awareness of the audience (the character asks a question which s/he already knows the answer to but which others might not and explains the answer as if for the benefit of others).). Unlike the FIS and FIT of prose texts, these narrator-influenced forms of DS and DT report speech and thought in direct form through the character's voice (rather than indirectly through the narrator's voice) and the narrator's words are embedded within the character's DS or DT (rather than the character's words being embedded within the narrator's IS or IT report). DS and DT claim to faithfully report speech and thought in their original

forms, using quotation marks and reporting clauses ("yes," she said, "no," he thought). They are by far the most frequent form of speech and thought presentation in comics because they are the most mimetic of Leech and Short's speech and thought presentation categories, which is preferred in a highly visual medium such as comics where stories are told or rather shown mimetically through pictures. DS is normally presented within speech balloons and DT within thought balloons or caption boxes in comics. The circular body of balloons are equivalent to quotation marks and their tails are equivalent to reporting clauses. FDS and FDT are variations of DS and DT which are presented more freely without quotation marks and reporting clauses (This is a joke, he thought. This has got to be a joke. - DT without quotation marks but with a reporting clause, then FDT without quotation marks or a reporting clause). DS and DT can be presented freely in comics by removing their speech or thought balloons or caption boxes and thus exposing the unframed words of speech or thought in a picture. The presentation of words without balloons or boxes in comics occurs commonly in the presentation of onomatopoeic sounds ('bang!', 'thud', 'screeeech'). When DS and DT are presented freely without frames, it often is to create some kind of prosodic effect in the speech or thought, such as loudness or emphasis.

The minimalist, diegetic, narrator-controlled categories of Leech and Short's speech and thought presentation scales (NPV, NPT, NPSA, NPTA, IS and IT) are less common in comics than direct forms of speech and thought presentation. This is due to the minimization of textual narration and the narrator and the heavy use of visual, mimetic and direct forms of presentation in comics. DS and DT are the predominant forms of speech and thought presentation in comics. Because of this, the uses and types of DS and DT in comics have increased, including narrator-influenced forms of DS and DT. Leech and Short's speech and thought presentation scales do not account for all speech and thought presentation phenomena in comics though. They do not account for visual presentations of speech and thought where

the contents of speech and thought balloons may consist of images or pictorial symbols and non-verbal balloons which do not present speech or thought but use punctuation marks and symbols to represent feelings and states of mind. Visual forms of speech and thought presentation are exclusive to multimodal texts such as comics and thus are not covered by Leech and Short's scales which were developed from and for prose texts. The scales require extension in order to include visual types of speech and thought presentation.

9.4 Research question 3: Does the narrator 'interfere' in the presentation of character dialogue in comics?

The third research question was touched on initially in the answers to the second research question by the comic equivalent of FIS and FIT: narrator-influenced DS and DT. Narrative interference in speech and thought presentation does not necessarily create narrator-presented forms (NPV, NPT, NPSA, NPTA) or indirect forms (IS, IT, FIS, FIT) of speech and thought presentation in comics as it often occurs through DS and DT presentations. Instead of the narrator being the indirect reporter of the speech or thought of characters, the directly-presented speech or thought of characters is used to convey the narrator's message as if it is part of the character's actual speech or thought. So the words of the narrator are being communicated through the direct voice of a speaking or thinking character in narrator-influenced forms of DS and DT. Because of the dual voices of the narrator and the character in narrator-influenced DS and DT, it may be debated whether they can be considered forms of FIS and FIT. But their presentation within speech and thought balloons and use of the first person voice and grammar of a character-speaker or thinker are markers of DS and DT, despite the presence of narrative content or characteristics within the words of the speech or thought. Indicators of narrator interference in DS and DT include: stepping out of character,

awareness of the audience and the world outside of the story, providing narrative information, artificial language and implausibility. Narrator-influenced DS and DT reduce the need for textual narration in comics as they bring character dialogue and narration together in one form. They can deliver narrative information on characters and events in the story in a covert manner as part of the direct dialogue of a character, or the narrative interference in DS or DT may be overt and obvious to the point of imbuing a character with narrator qualities such as omniscient narrative knowledge and awareness of the reading audience.

9.5 Research question 4: Are there discourse presentation categories specific to comics?

Regarding the fourth research question, I could not find evidence from my comic data for all of the categories of Leech and Short's speech and thought presentation scales (IS and IT in particular), hence not all the categories of the scales are suited for comics. The scales also do not account for all types of speech and thought presentation found in these multimodal texts (visual presentations for instance). The scales, which were designed for prose texts, require change in order to be applicable to comics. For comics, an extension of the types of DS and DT is needed, being that DS and DT are the most frequent forms of speech and thought presentation in comics. I have identified four types of DS and four corresponding types of DT that occur in comics: internally-located direct speech (IDS), internally-located direct thought (IDT), externally-located direct speech (EDS), externally-located direct thought (EDT), narrator-influenced DS, narrator-influenced DT, visual DS and visual DT. IDS and IDT are DS and DT that are located within the time and place in which they occur. They are the most common types of DS and DT found in comics, presented within speech and thought balloons or (alternatively for IDT) caption boxes attached to the visual scene of a picture panel which they are happening in. EDS and EDT are DS and DT that are located outside of the time and

place from which they originate, usually in conjunction with another scene of a different time and/or place setting. They are presented within caption boxes only since balloons root speech and thought directly within pictured scenes by attaching them to characters. Narrator-influenced DS and DT have already been mentioned above. They are DS and DT that possess narrative interference, often containing narrative information relating to the story. They are mimetic ways of presenting narration (as part of the DS or DT of characters) and reduce the need for diegetic narrative text. This has the benefit of freeing more space in a picture panel by the minimizing additional narrative text. Narrative intrusion into DS and DT can make the speech or thought seem artificial and unnatural though if it is too obvious and incongruent with the direct voice of the character. Visual forms of DS and DT are DS and DT that use images or symbols to convey their content. They may not always be confined within speech and thought balloons, for example in cases of mental flashback images which may take up full panels on their own. This is particularly useful for thought presentation as thoughts are known to occur visually as mental images as well as in words. First person and third person perspectives can also factor into visual DS and DT. As when identifying the narrative categories from Simpson's (1993) modal grammar of point of view (categories A, B(N) and B(R)) in images, the visual angles from which DS or DT images are presented can convey first person, third person narrator or third person character-reflector points of view.

9.6 Research question 5: What effects can be generated from the types of speech and thought presentation found in comics?

Addressing the fifth research question, the NPV, NPT, NPSA and NPTA categories from Leech and Short's speech and thought presentation scales can produce effects of distancing in comics as they can in prose texts. Even in their visual forms where characters are shown

talking or thinking in pictures but what they say or think is not revealed in any detail, we are distanced from the speech or thought being presented, given no access to their propositional content and thus kept outside of the speech or thought event at an uninvolved observer's distance. Aside from this, a variety of effects can be generated by the different types of DS and DT in comics. IDS and IDT present speech and thought as they are happening in current time. Their font size and style, use of italics and bold, and the shape and colours of their speech and thought balloons can be indicators of voice volume, tone and manner and prosodic effects such as emphasis and loudness. EDS and EDT are useful for creating meaningful effects such as timelessness, echoing, memory, foreshadowing and relevance, similarity or parallels between scenes. They also create a textual connection between two otherwise separate picture panels containing visual scenes from different times and/or locations as the DS or DT from one scene is presented in accompaniment with another. Narrator-influenced DS and DT allow narration to be conducted through the DS and DT of characters. As well as being a space-saving (reducing the need for narrative text and freeing up space in pictures panels as a result) and mimetic (presenting narration as DS or DT) way of delivering narrative information, narrative interference in DS and DT allows a character to be a first person narrator and a speaker or thinker simultaneously. It combines the narrative and dialogue voices of a character in the form of his/her DS or DT voice. And if the narrative interference is overt, it can imbue characters with narrative knowledge and awareness. Visual forms of DS can be useful for representing instances of speech where the exact verbal content of the speech does not need to be known, such as when presenting foreign languages which the intended audience is not expected to understand if presented faithfully in words. Combinations of symbols are often used to represent taboo language where the printing of vulgar words may be unsuitable or unacceptable to readers too. Visual forms of DT are useful

for presenting mental imagery and can be viewed as more truthful and accurate presentations of visual thought than worded DT would be.

9.7 Contributions of this thesis

This thesis has made two major original contributions to knowledge: visual forms of narration have been identified in comics and Leech and Short's (1981) speech and thought presentation categories have been developed and extended for a multimodal text. I have explained how Simpson's (1993) narrative categories from his modal grammar of point of view, categories A, B(N) and B(R) which I have referred to as character, narrator and reflector perspectives, can be identified in comic pictures from their visual point of view angles. Visual forms for some of Leech and Short's speech and thought presentation categories, NPV, NPT, NPSA and NPTA, have been demonstrated. More types of DS and DT found in comics have been proposed: internally-located, externally-located, narrator-influenced and visual forms of DS and DT. By adapting Leech and Short's (1981) speech and thought presentation scales in these ways, the scales have been extended from their original form in order to move them beyond their initial focus on prose texts, and to make them applicable and relevant to multimodal comic texts. The use of linguistic models of narration and speech and thought presentation has been expanded from the analysis of prose texts by their application to a multimodal text-type, thereby expanding the explanatory power and reach of stylistics.

9.8 Future research

Though there have been some studies into comics, for instance, Forceville's (1996, 2005, (with Urios-Aparisi) 2009) work on pictorial metaphor in multimodal texts, comics largely remain an understudied area. But with increasing interest in multimodal studies, they are multimodal texts worth further investigation in future. Suggestions for further research I would propose are: a quantitative survey on the frequency of narrator-influenced DT to determine whether it is a thought presentation norm in comics; an analysis of the impact of point of view in visual DT presentations; a comparison of narration and speech and thought in comics and films; exploration of different comic genres, such as action, adventure, humour, mystery and horror; a study of comics with a higher narrative text content, such as book adaptations and literary graphic novels; and an exploration of narration and speech and thought presentation in non-Western comics such as Japanese manga. My observations of comics have suggested that narrator interference occurs more often in DT than in DS. A statistical survey of the frequency of narrator-influenced DT could confirm this observation and determine whether this type of DT is the norm for thought presentation in comics. The use of images in visual forms of DT allows for different points of view to be used in presenting mental imagery, such as character, narrator and reflector perspectives from Simpson's (1993) narrative categories (categories A, B(N) and B(R)). An analysis of visual DT could identify visual points of view and explain their effects on mental images if any. A comparison of comics and films in their narration and presentation of speech and thought would reveal similarities and differences between the two multimodal mediums. Studies of different comic genres may reveal different and specific patterns of narration and speech and thought presentation amongst them. There may be more narrator-controlled forms of speech and thought presentation (NPV, NPT, NPSA, NPTA) and less DT presentation in mystery

comics to limit reader access into private conversations and minds for example. Comics that use more textual narration along with their pictures are perhaps less mimetic than comics which rely more heavily on visual content and DS and DT presentations. IS and IT, which are rare in most mimetic and visual types of comics, may be found in these more literary and text-heavy comics. An exploration of comics from other countries might uncover differences in narration and in ways of presenting speech and thought. In Japanese manga comics for example, there may be more visual styles of speech and thought balloons and more occurrences of FDS and FDT than in American comics.

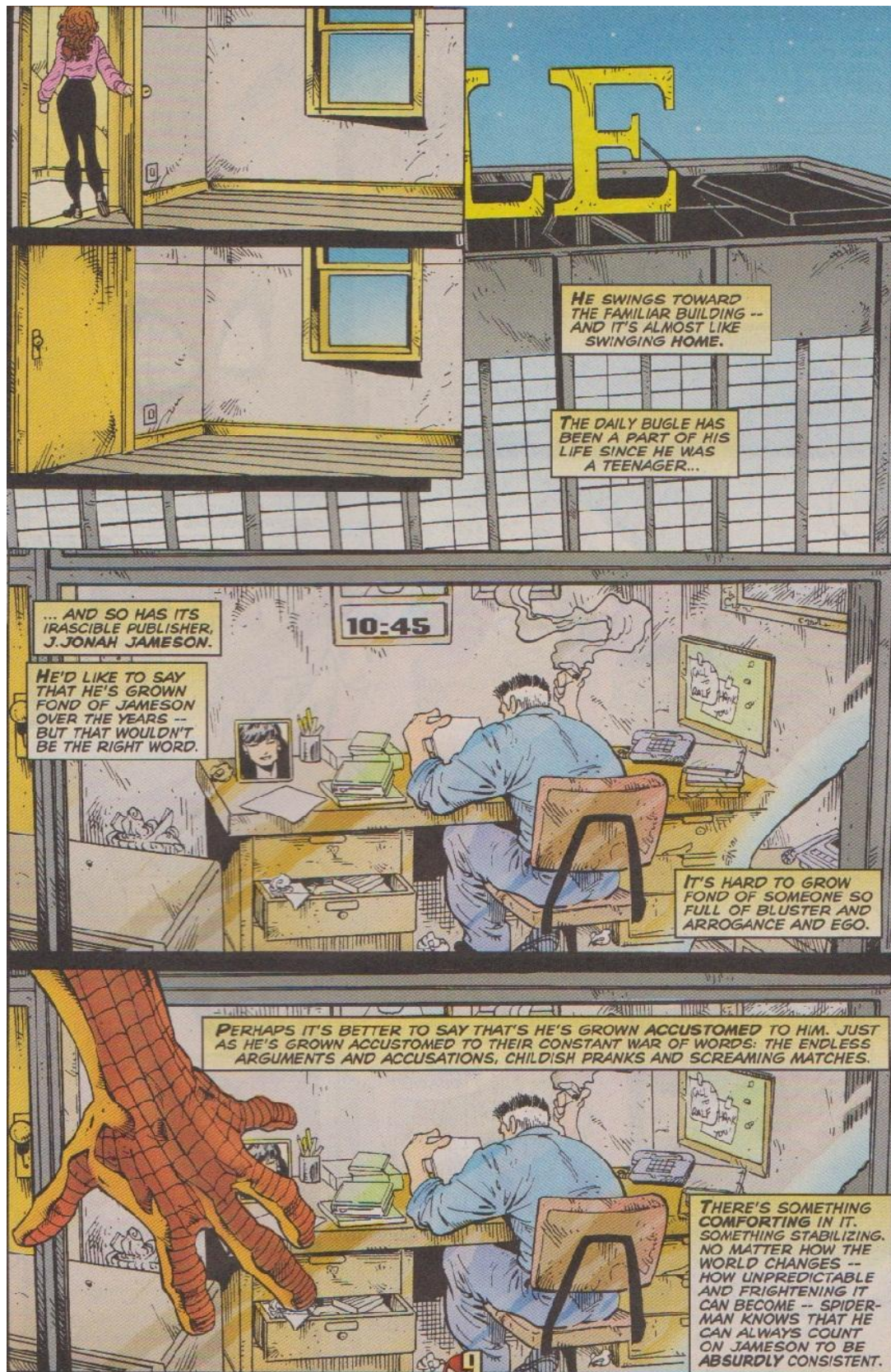
Appendices

Appendix 1



(Jenkins & Ching (Aug. 2001), *Witchblade* #50, pg. 32.)

Appendix 2



(De Matteis et al. (Dec. 1996), *The Spectacular Spider-Man* #241, pg. 9.)

Appendix 3



(Mackie et al. (Aug. 1999), *Peter Parker: Spider-Man* #8, pg. 1.)

Appendix 4 - Page 1



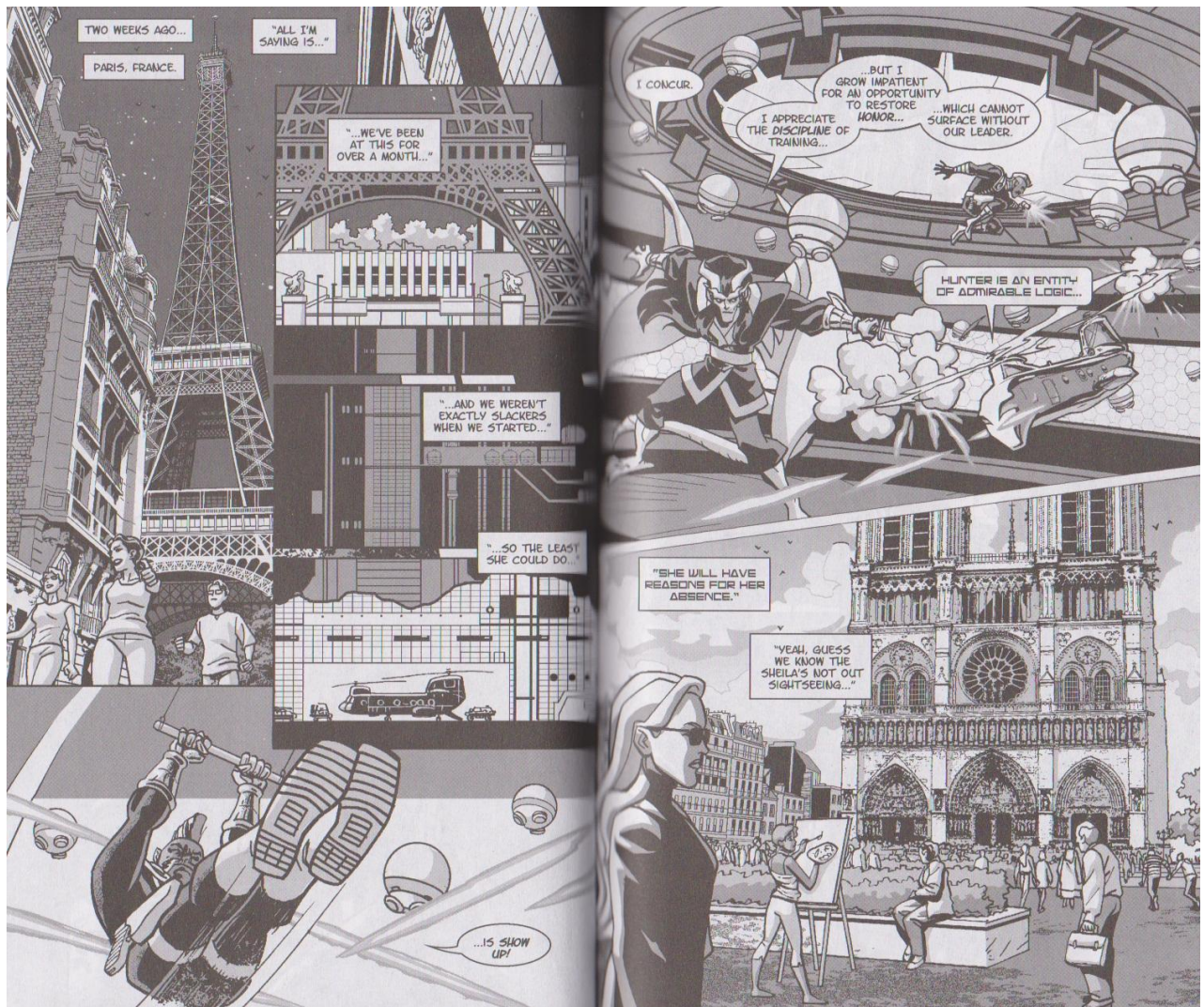
(Weisman et al. (2009), *Gargoyles: Bad Guys*, chap. 2, pgs. 6&7.)

Appendix 4 - Page 2



(Weisman et al. (2009), *Gargoyles: Bad Guys*, chap. 2, pgs. 8&9.)

Appendix 5



(Weisman et al. (2009), *Gargoyles: Bad Guys*, chap. 3, pgs. 6&7.)

Appendix 6



(Weisman et al. (2009), *Gargoyles: Clan-Building Volume Two*, chap. 11, pgs. 10&11.)

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